

## PATENT COOPERATION TREATY

PCT

## NOTIFICATION OF ELECTION

(PCT Rule 61.2)

From the INTERNATIONAL BUREAU

To:

Assistant Commissioner for Patents  
United States Patent and Trademark  
Office  
Box PCT  
Washington, D.C. 20231  
ÉTATS-UNIS D'AMÉRIQUE

in its capacity as elected Office

Date of mailing (day/month/year) 02 March 2000 (02.03.00)	
International application No. PCT/US99/16825	Applicant's or agent's file reference 11613.37WOU1
International filing date (day/month/year) 23 July 1999 (23.07.99)	Priority date (day/month/year) 24 July 1998 (24.07.98)
Applicant STUDER, Lorenz et al	

1. The designated Office is hereby notified of its election made:

☒ in the demand filed with the International Preliminary Examining Authority on:

01 February 2000 (01.02.00)

☐ in a notice effecting later election filed with the International Bureau on:2. The election ☒ was☐ was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland	Authorized officer F. Baechler
Facsimile No.: (41-22) 740.14.35	Telephone No.: (41-22) 338.83.38

From the  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

To:

BRUESS, S  
MERCHANT & GOULD P.C.  
3100 Norwest Center  
90 South Seventh Street  
Minneapolis, Minnesota 55402-4131  
ETATS-UNIS D'AMERIQUE

PCT

NOTIFICATION OF TRANSMITTAL OF  
THE INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT

(PCT Rule 71.1)

Date of mailing  
(day/month/year)

08.09.00

Applicant's or agent's file reference  
11613.37WOU1

IMPORTANT NOTIFICATION

International application No.  
PCT/US99/16825

International filing date (day/month/year)  
23/07/1999

Priority date (day/month/year)  
24/07/1998

Applicant

THE GOVERNMENT OF THE UNITED STATES OF AMERICA, re

1. The applicant is hereby notified that this International Preliminary Examining Authority transmits herewith the international preliminary examination report and its annexes, if any, established on the international application.
2. A copy of the report and its annexes, if any, is being transmitted to the International Bureau for communication to all the elected Offices.
3. Where required by any of the elected Offices, the International Bureau will prepare an English translation of the report (but not of any annexes) and will transmit such translation to those Offices.

4. REMINDER

The applicant must enter the national phase before each elected Office by performing certain acts (filing translations and paying national fees) within 30 months from the priority date (or later in some Offices) (Article 39(1)) (see also the reminder sent by the International Bureau with Form PCT/IB/301).

Where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary examination report. It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned.

For further details on the applicable time limits and requirements of the elected Offices, see Volume II of the PCT Applicant's Guide.

Name and mailing address of the IPEA/



European Patent Office  
D-80298 Munich  
Tel. +49 89 2399 - 0 Tx: 523656 epmu d  
Fax: +49 89 2399 - 4465

Authorized officer

Vullo, C

Tel. +49 89 2399-8061



# PATENT COOPERATION TREATY

## PCT

### INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference <b>11613.37WOU1</b>	<div style="display: flex; justify-content: space-between;"> <div> <b>FOR FURTHER ACTION</b> </div> <div>           See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)         </div> </div>	
International application No. <b>PCT/US99/16825</b>	International filing date ( <i>day/month/year</i> ) <b>23/07/1999</b>	Priority date ( <i>day/month/year</i> ) <b>24/07/1998</b>
International Patent Classification (IPC) or national classification and IPC <b>C12N5/00</b>		
Applicant <b>THE GOVERNMENT OF THE UNITED STATES OF AMERICA, re</b>		
<p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of 6 sheets, including this cover sheet.</p> <p><input checked="" type="checkbox"/> This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of 3 sheets.</p>		
<p>3. This report contains indications relating to the following items:</p> <ul style="list-style-type: none"> <li>I <input checked="" type="checkbox"/> Basis of the report</li> <li>II <input type="checkbox"/> Priority</li> <li>III <input type="checkbox"/> Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</li> <li>IV <input type="checkbox"/> Lack of unity of invention</li> <li>V <input checked="" type="checkbox"/> Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</li> <li>VI <input type="checkbox"/> Certain documents cited</li> <li>VII <input type="checkbox"/> Certain defects in the international application</li> <li>VIII <input checked="" type="checkbox"/> Certain observations on the international application</li> </ul>		
Date of submission of the demand  <b>01/02/2000</b>	Date of completion of this report  <div style="text-align: right; font-size: 1.2em;"><b>08.09.00</b></div>	
Name and mailing address of the international preliminary examining authority:  <div style="display: flex; align-items: center;"> <div>             European Patent Office              D-80298 Munich              Tel. +49 89 2399 - 0 Tx: 523656 epmu d              Fax: +49 89 2399 - 4465           </div> </div>	Authorized officer  <b>Predazzi, V</b>  Telephone No. +49 89 2399 7518	



# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/US99/16825

## I. Basis of the report

1. This report has been drawn on the basis of (*substitute sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to the report since they do not contain amendments.*):

### Description, pages:

1-28 as originally filed

### Claims, No.:

1-19 as received on 03/08/2000 with letter of 03/08/2000

### Drawings, sheets:

1/8-8/8 as originally filed

2. The amendments have resulted in the cancellation of:

- ☐ the description, pages:
- ☐ the claims, Nos.:
- ☐ the drawings, sheets:

3. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)):

4. Additional observations, if necessary:

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/US99/16825

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

**1. Statement**

Novelty (N)	Yes:	Claims	1-19
	No:	Claims	
Inventive step (IS)	Yes:	Claims	1-19
	No:	Claims	
Industrial applicability (IA)	Yes:	Claims	1-19
	No:	Claims	

**2. Citations and explanations**

**see separate sheet**

**VIII. Certain observations on the international application**

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:

**see separate sheet**

**Re Item I**

**Basis of the report**

1. Description and drawings as filed and amended claims 1-19 received with letter of 03.08.2000

**Re Item V**

**Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. Reference is made to the following documents:  
  
D1: STUDER, L. (1) ET AL: 'Transplantation of in vitro expanded and reaggregated mesencephalic precursors leads to behavioral recovery in 60HDA lesioned rats.' SOCIETY FOR NEUROSCIENCE ABSTRACTS, (1997) VOL. 23, NO. 1-2, PP. 1998. MEETING INFO.: 27TH ANNUAL MEETING OF THE SOCIETY FOR NEUROSCIENCE NEW ORLEANS, LOUISIANA, USA OCTOBER 25-30, 1997 , XP000870279  
D2: WO 94 10292 A (NEUROSPHERES LTD) 11 May 1994 (1994-05-11)
2. Amended claims 1-19 filed with letter of 03.08.2000 appears to be allowable under Article 34 (2)(b) PCT.
3. The subject-matter of claims 1-19 appears to be new and inventive in the sense of Article 33 (2) and (3) PCT.
  - 3.1 D1, which is considered to represent the closest prior art, discloses **a method of culturing differentiated mesencephalic neuronal cells comprising a proliferation step of precursor cells in a medium which includes bFGF and a differentiation step comprising incubating the proliferated cells in a differentiation medium in a roller drum in the presence of a differentiating agent (FCS or GDNF) (cf. D1).**
  - 3.2 The difference between D1 and the present application lies in the fact that in the present application other differentiating agents, besides the ones disclosed in D1,

are used.

- 3.3 The technical effect is to provide a more specifically targeted influence on the relative proportion of differentiating cell types.
- 3.4 The problem to be solved starting from D1, is how to improve the targeted differentiation of cell kinds using the same method of cell culturing.
- 3.5 The Applicant solves the problem by using as an essential differentiating agent ascorbic acid.
- 3.6 Although D1 discloses **a method of culturing differentiated mesencephalic neuronal cells comprising a proliferation step of precursor cells in a medium which includes bFGF and a differentiation step comprising incubating the proliferated cells in a differentiation medium in a roller drum in the presence of a differentiating agent (FCS or GDNF)** (cf. D1), and D2, which relates to methods of preparing differentiated cells from precursor cells (cf. D2 page 1, lines 10 and 11) by using bFGF, provides a method of influencing the relative proportion of differentiating cell types by the addition of exogenous growth factors during the differentiation stage of the precursor cells such as: cAMP, forskolin and more in general brain-derived neurotropic factors (cf. D2 page 13, lines 19-23, page 14, lines 12-20 and claim 8) there is **no mention or suggestion in either document to use ascorbic acid as a differentiating factor.**

Hence, the person skilled in the art, would not have had any indication in the prior art to use ascorbic acid as a differentiating acid in the method of D1.

Therefore, claims 1-19 of the present application appears to be novel and inventive under Article 33 (2) and (3) PCT.

#### **Re Item VIII**

#### **Certain observations on the international application**

1. Claims 12-15 refer to medical treatments. The Applicant is requested to note that the present wording of said claims may not be acceptable upon to entry into the

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT - SEPARATE SHEET**

---

International application No. PCT/US99/16825

regional phase; in fact, the patentability can also be dependent upon the formulation of the claims. The EPO, for example, does not recognize as industrially applicable the subject-matter of claims to the use of a compound in medical treatment under Article 52.4 EPC, but may allow, however, claims to a known compound for first use in medical treatment and the use of such a compound for the manufacture of a medicament for a new medical treatment.

2. It appears that the following document:

STUDER L ET AL: 'Transplantation of expanded mesencephalic precursors leads to recovery in parkinsonian rats [see comments].' NAT NEUROSCI, (1998 AUG) 1 (4) 290-5, cited as later document to understand the principle underlying the invention, achieves the same results in percentage of dopaminergic neurons obtained and in efficiency of differentiation, using the same method disclosed in the present application **without** the use of ascorbic acid.



REPLACED BY  
ART 34 AMDT

WHAT IS CLAIMED IS:

1. A method of culturing cells, comprising:
  - a. proliferating precursor cells, said step of proliferating comprising:
    - i. incubating said precursor cells in proliferating medium which includes basic fibroblast growth factor (bFGF); and
  - b. differentiating said precursor cells, said step of differentiating comprising:
    - i. incubating said precursor cells in an incubation vessel which contains differentiation medium in a manner effective to form a reaggregation of differentiated cells that is not adhered to any surface of the incubation vessel.
2. The method of claim 1, wherein said step of differentiating comprises incubating the precursor cells in a roller tube.
3. The method of claim 1, wherein said step of differentiating further comprises incubating said precursor cells in the presence of at least one differentiating agent.
4. The method of claim 3, wherein said differentiating agent is selected from the group consisting of cyclic adenosine 3',5'-phosphate (cAMP), cAMP modulator, dopamine, dopamine simulator and ascorbic acid.
5. The method of claim 4, wherein the cAMP modulating agent is selected from the group consisting of forskolin.
6. The method of claim 4, wherein the dopamine simulator is L-Dopa.
7. A method of culturing cells, comprising incubating said cells in proliferating medium which includes basic fibroblast growth factor (bFGF).
8. A method of culturing differentiating cells, comprising incubating precursor cells in an incubation vessel which contains differentiation medium in a

manner effective to form a reaggregation of differentiated cells that is not adhered to any surface of the incubation vessel.

9. The method of claim 8, wherein the precursor cells are incubated in a roller drum.
10. The method of claim 8, wherein said step of differentiating further comprises incubating said precursor cells in the presence of at least one differentiating agent.
11. The method of claim 10, wherein the differentiating agent is selected from the group consisting of cyclic adenosine 3',5'-phosphate (cAMP), cAMP modulating agent, dopamine, dopamine simulator and ascorbic acid.
12. The method of claim 11, wherein the cAMP modulating agent is selected from the group consisting of forskolin.
13. The method of claim 11, wherein the dopamine simulator includes L-Dopa.
14. A method of culturing differentiated neuronal cells, comprising:
  - a. proliferating neuronal precursor cells, said step of proliferating comprising:
    - i. incubating said neuronal precursor cells in proliferating medium which includes basic fibroblast growth factor (bFGF); and
  - b. differentiating said neuronal precursor cells, said step of differentiating comprising:
    - i. incubating said precursor cells in an incubation vessel which contains differentiation medium in a manner effective to form a reaggregation of differentiated cells that is not adhered to any surface of the incubation vessel
15. The method of claim 14, wherein said differentiated neuronal cells are dopaminergic neuron cells.

16. The method of claim 15, wherein said precursor cells are mesencephalic cells.
17. The method of claim 14, wherein said differentiated neuronal cells are cholinergic neuronal cells.
18. The method of claim 17, wherein said precursor cells are basal forebrain cells or spinal cord cells.
19. The method of claim 14, wherein said differentiated neuronal cells are serotonergic cells.
20. The method of claim 19, wherein said precursor cells are nucleus raphe cells.
21. A method of treating a patient with neurological disorder, comprising the steps of:
  - A. culturing differentiated neuronal cells, said step of culturing comprising:
    - i. proliferating neuronal precursor cells, said step of proliferating comprising:
      - a. incubating said neuronal precursor cells in proliferating medium which includes basic fibroblast growth factor (bFGF); and
    - ii. differentiating said neuronal precursor cells, said step of differentiating comprising:
      - aa. incubating said precursor cells in an incubation vessel which contains differentiation medium in a manner effective to form a reaggregation of differentiated cells that is not adhered to any surface of the incubation vessel; and
  - B. administering said differentiated neuronal cells to a patient in need thereof.

22. The method of claim 21, wherein the neurological disorder is Parkinson's disease.
23. A method of introducing a gene product into a brain of a patient, comprising:
  - A. transforming neuronal precursor cells;
  - B. culturing said transformed neuronal cells, said step of culturing comprising:
    - i. proliferating transformed neuronal precursor cells, said step of proliferating comprising:
      - a. incubating transformed neuronal precursor cells in proliferating medium which includes basic fibroblast growth factor (bFGF); and
    - ii. differentiating transformed neuronal precursor cells, said step of differentiating comprising:
      - aa. incubating said precursor cells in an incubation vessel which contains differentiation medium in a manner effective to form a reaggregation of differentiated cells that is not adhered to any surface of the incubation vessel; and
  - C. administering said differentiated transformed neuronal cells into a patient in need thereof.
24. The method of claim 23, wherein said transformed cell produces a gene product selected from the group consisting of tyrosine hydroxylase, nerve growth factor (NGF), brain derived neurotrophic factor (BDGF), basic fibroblast growth factor (bFGF) and glial derived growth factor (GDGF).
25. An assay for a substance, comprising:
  - A. culturing differentiated neuronal cells, said step of culturing comprising:
    - i. proliferating neuronal precursor cells, said step of proliferating comprising:

- a. incubating said neuronal precursor cells in proliferating medium which includes basic fibroblast growth factor (bFGF); and
  - ii. differentiating said neuronal precursor cells, said step of differentiating comprising:
    - aa. incubating said precursor cells in an incubation vessel which contains differentiation medium in a manner effective to form a reaggregation of differentiated cells that is not adhered to any surface of the incubation vessel;
  - B. exposing said differentiated neuronal cells to the substance; and
  - C. observing the effect of the substance on the differentiated neuronal cells.
- 26. A cell culture comprising about 80% to about 95% differentiated neuronal cells and less than 5% glial cells.
- 27. The cell culture of claim 26 wherein the differentiated neuronal cells are dopaminergic cells that are functional *in vivo*.

# PCT

## INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference <b>11613.37WOU1</b>	<b>FOR FURTHER ACTION</b> see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below.	
International application No. <b>PCT/US 99/ 16825</b>	International filing date (day/month/year) <b>23/07/1999</b>	(Earliest) Priority Date (day/month/year) <b>24/07/1998</b>
Applicant  <b>THE GOVERNMENT OF THE UNITED STATES OF AMERICA, re</b>		

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 4 sheets.

☒ It is also accompanied by a copy of each prior art document cited in this report.

### 1. Basis of the report

- a. With regard to the **language**, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

☐ the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

- b. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international search was carried out on the basis of the sequence listing :

☐ contained in the international application in written form.

☐ filed together with the international application in computer readable form.

☐ furnished subsequently to this Authority in written form.

☐ furnished subsequently to this Authority in computer readable form.

☐ the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.

☐ the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished

2. ☒ **Certain claims were found unsearchable** (See Box I).

3. ☐ **Unity of invention is lacking** (see Box II).

### 4. With regard to the **title**,

☒ the text is approved as submitted by the applicant.

☐ the text has been established by this Authority to read as follows:

### 5. With regard to the **abstract**,

☒ the text is approved as submitted by the applicant.

☐ the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

### 6. The figure of the **drawings** to be published with the abstract is Figure No.

☐ as suggested by the applicant.

☐ because the applicant failed to suggest a figure.

☐ because this figure better characterizes the invention.

☒ None of the figures.

# INTERNATIONAL SEARCH REPORT

International application No.

PCT/US 99/ 16825

## Box I Observations where certain claims were found unsearchable (Continuation of item 1 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☒ Claims Nos.:  
because they relate to subject matter not required to be searched by this Authority, namely:  
Remark: Although claims 21-24 are directed to a method of treatment of the human/animal body, the search has been carried out and based on the alleged effects of the compound/composition.
2. ☐ Claims Nos.:  
because they relate to parts of the International Application that do not comply with the prescribed requirements to such an extent that no meaningful International Search can be carried out, specifically:
3. ☐ Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

## Box II Observations where unity of invention is lacking (Continuation of item 2 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:

1. ☐ As all required additional search fees were timely paid by the applicant, this International Search Report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this International Search Report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this International Search Report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

### Remark on Protest

- ☐ The additional search fees were accompanied by the applicant's protest.
- ☐ No protest accompanied the payment of additional search fees.

## INTERNATIONAL SEARCH REPORT

International Application No

PCT/US 99/16825

## A. CLASSIFICATION OF SUBJECT MATTER

IPC 7 C12N5/00 A61K48/00 C12Q1/02

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 C12N

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	STUDER, L. (1) ET AL: "Transplantation of in vitro expanded and reaggregated mesencephalic precursors leads to behavioral recovery in 60HDA lesioned rats." SOCIETY FOR NEUROSCIENCE ABSTRACTS, (1997) VOL. 23, NO. 1-2, PP. 1998. MEETING INFO.: 27TH ANNUAL MEETING OF THE SOCIETY FOR NEUROSCIENCE NEW ORLEANS, LOUISIANA, USA OCTOBER 25-30, 1997, XP000870279	1-3, 7-10, 14-20, 26,27
Y	the whole document  --- -/--	4-6, 11-13, 21-25



Further documents are listed in the continuation of box C.



Patent family members are listed in annex.

## \* Special categories of cited documents:

"A" document defining the general state of the art which is not considered to be of particular relevance

"E" earlier document but published on or after the international filing date

"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)

"O" document referring to an oral disclosure, use, exhibition or other means

"P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

"&amp;" document member of the same patent family

Date of the actual completion of the international search

25 January 2000

Date of mailing of the international search report

09/02/2000

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
Fax: (+31-70) 340-3016

Authorized officer

Stein, A



## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	WO 94 10292 A (NEUROSPHERES LTD) 11 May 1994 (1994-05-11) page 1, line 10 -page 2, line 6 page 13, line 19 -page 14, line 28 claims 1-13 ---	4-6, 11-13
Y	WO 91 09936 A (HANA BIOLOG INC) 11 July 1991 (1991-07-11) page 4, line 27 -page 5, line 32 page 6, line 19 - line 27 page 8, line 5 - line 23 page 9, line 7 - line 18 page 23, line 25 -page 24, line 21 claims 1-20 ---	4,11 26,27
Y	WO 96 15224 A (NEUROSPHERES HOLDINGS LTD ;WEISS SAMUEL (CA); REYNOLDS BRENT A (CA) 23 May 1996 (1996-05-23) page 6, line 18 -page 7, line 6 page 13, line 10 -page 15, line 28 page 16, line 14 - line 29 page 17, line 18 - line 23 claims 1-37 ---	21,22,25 26,27
Y	WO 94 16718 A (WEISS SAMUEL ;NEUROSPHERES LTD (CA); REYNOLDS BRENT A (CA); BAETGE) 4 August 1994 (1994-08-04) page 1, line 10 - line 20 page 8, line 6 - line 22 page 10, line 14 - line 28 page 13, line 9 - line 19 page 14, line 14 - line 24 claims 1-40 ---	23,24
A	STRECKER RE ET AL: "Survival and function of aggregate cultures of rat fetal dopamine neurons grafted in a rat model of Parkinson's disease" EXP BRAIN RES, vol. 76, no. 2, 1989, pages 315-22, XP000867471 the whole document, especially methods and discussion ---	1,2,8,9, 14-20
P,X	STUDER L ET AL: "Transplantation of expanded mesencephalic precursors leads to recovery in parkinsonian rats 'see comments!.' NAT NEUROSCI, (1998 AUG) 1 (4) 290-5. , XP000870304 the whole document -----	1-27

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US 99/16825

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
WO 9410292 A	11-05-1994	AU 703729 B	01-04-1999
		AU 4924197 A	12-03-1998
		AU 5367694 A	24-05-1994
		EP 0669973 A	06-09-1995
		FI 952022 A	27-04-1995
		JP 8502652 T	26-03-1996
		NO 951617 A	27-04-1995
		WO 9416718 A	04-08-1994
		US 5750376 A	12-05-1998
		US 5980885 A	09-11-1999
		US 5851832 A	22-12-1998
WO 9109936 A	11-07-1991	US 5411883 A	02-05-1995
WO 9615224 A	23-05-1996	US 5981165 A	09-11-1999
		AU 3836695 A	06-06-1996
		CN 1170434 A	14-01-1998
		EP 0792349 A	03-09-1997
		FI 971955 A	03-07-1997
		JP 10509319 T	14-09-1998
		NO 972170 A	30-06-1999
WO 9416718 A	04-08-1994	AU 687785 B	05-03-1998
		AU 6098394 A	15-08-1994
		CA 2155024 A	04-08-1994
		EP 0681477 A	15-11-1995
		FI 953569 A	25-09-1995
		JP 8505762 T	25-06-1996
		NO 952985 A	27-07-1995
		US 5750376 A	12-05-1998
		US 5980885 A	09-11-1999
		US 5851832 A	22-12-1998
		AU 665012 B	14-12-1995
		AU 2242592 A	11-02-1993
		CA 2113118 A	21-01-1993
		WO 9301275 A	21-01-1993
		EP 0594669 A	04-05-1994
		FI 935929 A	02-02-1994
		JP 6509225 T	20-10-1994
		NO 940056 A	03-03-1994
		US 5981165 A	09-11-1999
		AU 683023 B	30-10-1997
		AU 5147493 A	09-05-1994
		CA 2147162 A	28-04-1994
		WO 9409119 A	28-04-1994
		EP 0664832 A	02-08-1995
		FI 951677 A	07-04-1995
		JP 8502172 T	12-03-1996
		NO 951378 A	07-04-1995
		AU 703729 B	01-04-1999
		AU 4924197 A	12-03-1998
		AU 5367694 A	24-05-1994
		WO 9410292 A	11-05-1994
		EP 0669973 A	06-09-1995
		FI 952022 A	27-04-1995
		JP 8502652 T	26-03-1996
		NO 951617 A	27-04-1995



## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<b>(51) International Patent Classification <sup>7</sup> :</b> <b>C12N 5/00, A61K 48/00, C12Q 1/02</b>	<b>A3</b>	<b>(11) International Publication Number:</b> <b>WO 00/05343</b> <b>(43) International Publication Date:</b> 3 February 2000 (03.02.00)
<b>(21) International Application Number:</b> PCT/US99/16825 <b>(22) International Filing Date:</b> 23 July 1999 (23.07.99) <b>(30) Priority Data:</b> 60/093,991 24 July 1998 (24.07.98) US <b>(71) Applicant (for all designated States except US):</b> THE GOVERNMENT OF THE UNITED STATES OF AMERICA, represented by THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES [US/US]; Suite 325, 6011 Executive Boulevard, Rockville, MD 20852 (US). <b>(72) Inventors; and</b> <b>(75) Inventors/Applicants (for US only):</b> STUDER, Lorenz [CH/US]; 4858 Battery Lane #208, Bethesda, MD 20814 (US). MCKAY, Ron, D., G. [US/US]; 4401 Highland Avenue, Bethesda, MD 20814 (US). <b>(74) Agent:</b> BRUESS, Steven, C.; Merchant & Gould P.C., 3100 Norwest Center, 90 South Seventh Street, Minneapolis, MN 55402-4131 (US).		<b>(81) Designated States:</b> AE, AL, AM, AT, AT (Utility model), AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, CZ (Utility model), DE, DE (Utility model), DK, DK (Utility model), EE, EE (Utility model), ES, FI, FI (Utility model), GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SK (Utility model), SL, TJ, TM, TR, TT, UA, UG, US, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).  <b>Published</b> <i>With international search report.</i> <b>(88) Date of publication of the international search report:</b> 20 April 2000 (20.04.00)
<b>(54) Title:</b> CELL EXPANSION SYSTEM FOR USE IN NEURAL TRANSPLANTATION		
<b>(57) Abstract</b> <p>The invention provides a method of culturing cells which includes a proliferating step in which the number of precursor cells is expanded and a differentiating step in which the expanded precursor cells develop into neuronal cells. The proliferating step includes the step of incubating the precursor cells in proliferating medium which includes basic fibroblast growth factor (bFGF). The differentiating step includes incubating the precursor cells in differentiation media in a manner effective to form a cellular aggregate that is not adhered to any surface of the incubation vessel. In a preferred embodiment, the cells are incubated in a roller tube. The differentiation media can also include at least one differentiating agent. The invention also provides a method for treating a neurological disorder, such as Parkinson's disease, a method of introducing a gene product into a brain of a patient, an assay for neurologically active substances, and a cell culture.</p>		

**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AT	Austria	FR	France	LU	Luxembourg	SN	Senegal
AU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GE	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	TJ	Tajikistan
BE	Belgium	GN	Guinea	MK	The former Yugoslav Republic of Macedonia	TM	Turkmenistan
BF	Burkina Faso	GR	Greece			TR	Turkey
BG	Bulgaria	HU	Hungary	ML	Mali	TT	Trinidad and Tobago
BJ	Benin	IE	Ireland	MN	Mongolia	UA	Ukraine
BR	Brazil	IL	Israel	MR	Mauritania	UG	Uganda
BY	Belarus	IS	Iceland	MW	Malawi	US	United States of America
CA	Canada	IT	Italy	MX	Mexico	UZ	Uzbekistan
CF	Central African Republic	JP	Japan	NE	Niger	VN	Viet Nam
CG	Congo	KE	Kenya	NL	Netherlands	YU	Yugoslavia
CH	Switzerland	KG	Kyrgyzstan	NO	Norway	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's Republic of Korea	NZ	New Zealand		
CM	Cameroon			PL	Poland		
CN	China	KR	Republic of Korea	PT	Portugal		
CU	Cuba	KZ	Kazakstan	RO	Romania		
CZ	Czech Republic	LC	Saint Lucia	RU	Russian Federation		
DE	Germany	LI	Liechtenstein	SD	Sudan		
DK	Denmark	LK	Sri Lanka	SE	Sweden		
EE	Estonia	LR	Liberia	SG	Singapore		

# INTERNATIONAL SEARCH REPORT

International Application No

PCT/US 99/16825

## A. CLASSIFICATION OF SUBJECT MATTER

IPC 7 C12N5/00 A61K48/00 C12Q1/02

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 C12N

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	STUDER, L. (1) ET AL: "Transplantation of in vitro expanded and reaggregated mesencephalic precursors leads to behavioral recovery in 60HDA lesioned rats."	1-3, 7-10, 14-20, 26,27
Y	SOCIETY FOR NEUROSCIENCE ABSTRACTS, (1997) VOL. 23, NO. 1-2, PP. 1998. MEETING INFO.: 27TH ANNUAL MEETING OF THE SOCIETY FOR NEUROSCIENCE NEW ORLEANS, LOUISIANA, USA OCTOBER 25-30, 1997, XP000870279 the whole document	4-6, 11-13, 21-25
	--- -/--	



Further documents are listed in the continuation of box C.



Patent family members are listed in annex.

### \* Special categories of cited documents:

- "A" document defining the general state of the art which is not considered to be of particular relevance
- "E" earlier document but published on or after the international filing date
- "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- "O" document referring to an oral disclosure, use, exhibition or other means
- "P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

"8" document member of the same patent family

Date of the actual completion of the international search

25 January 2000

Date of mailing of the international search report

09/02/2000

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
Fax: (+31-70) 340-3016

Authorized officer

Stein, A

## INTERNATIONAL SEARCH REPORT

Inter. Application No.

PCT/US 99/16825

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT		
Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	WO 94 10292 A (NEUROSPHERES LTD) 11 May 1994 (1994-05-11) page 1, line 10 -page 2, line 6 page 13, line 19 -page 14, line 28 claims 1-13 ---	4-6, 11-13
Y	WO 91 09936 A (HANA BIOLOG INC) 11 July 1991 (1991-07-11) page 4, line 27 -page 5, line 32 page 6, line 19 - line 27 page 8, line 5 - line 23 page 9, line 7 - line 18 page 23, line 25 -page 24, line 21 claims 1-20 ---	4,11 26,27
Y	WO 96 15224 A (NEUROSPHERES HOLDINGS LTD ;WEISS SAMUEL (CA); REYNOLDS BRENT A (CA) 23 May 1996 (1996-05-23) page 6, line 18 -page 7, line 6 page 13, line 10 -page 15, line 28 page 16, line 14 - line 29 page 17, line 18 - line 23 claims 1-37 ---	21,22,25 26,27
Y	WO 94 16718 A (WEISS SAMUEL ;NEUROSPHERES LTD (CA); REYNOLDS BRENT A (CA); BAETGE) 4 August 1994 (1994-08-04) page 1, line 10 - line 20 page 8, line 6 - line 22 page 10, line 14 - line 28 page 13, line 9 - line 19 page 14, line 14 - line 24 claims 1-40 ---	23,24
A	STRECKER RE ET AL: "Survival and function of aggregate cultures of rat fetal dopamine neurons grafted in a rat model of Parkinson's disease" EXP BRAIN RES, vol. 76, no. 2, 1989, pages 315-22, XP000867471 the whole document, especially methods and discussion ---	1,2,8,9, 14-20
P,X	STUDER L ET AL: "Transplantation of expanded mesencephalic precursors leads to recovery in parkinsonian rats 'see comments!.' NAT NEUROSCI, (1998 AUG) 1 (4) 290-5. , XP000870304 the whole document -----	1-27

# INTERNATIONAL SEARCH REPORT

International application No.

PCT/US 99/ 16825

## Box I Observations where certain claims were found unsearchable (Continuation of item 1 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☒ Claims Nos.:  
because they relate to subject matter not required to be searched by this Authority, namely:  
Remark: Although claims 21-24 are directed to a method of treatment of the human/animal body, the search has been carried out and based on the alleged effects of the compound/composition.
2. ☐ Claims Nos.:  
because they relate to parts of the International Application that do not comply with the prescribed requirements to such an extent that no meaningful International Search can be carried out, specifically:
3. ☐ Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

## Box II Observations where unity of invention is lacking (Continuation of item 2 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:

1. ☐ As all required additional search fees were timely paid by the applicant, this International Search Report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this International Search Report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this International Search Report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

### Remark on Protest

- ☐ The additional search fees were accompanied by the applicant's protest.
- ☐ No protest accompanied the payment of additional search fees.

## INTERNAT AL SEARCH REPORT

Information on patent family members

International Application No

PCT/US 99/16825

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
WO 9410292 A	11-05-1994	AU 703729 B	01-04-1999
		AU 4924197 A	12-03-1998
		AU 5367694 A	24-05-1994
		EP 0669973 A	06-09-1995
		FI 952022 A	27-04-1995
		JP 8502652 T	26-03-1996
		NO 951617 A	27-04-1995
		WO 9416718 A	04-08-1994
		US 5750376 A	12-05-1998
		US 5980885 A	09-11-1999
		US 5851832 A	22-12-1998
WO 9109936 A	11-07-1991	US 5411883 A	02-05-1995
WO 9615224 A	23-05-1996	US 5981165 A	09-11-1999
		AU 3836695 A	06-06-1996
		CN 1170434 A	14-01-1998
		EP 0792349 A	03-09-1997
		FI 971955 A	03-07-1997
		JP 10509319 T	14-09-1998
		NO 972170 A	30-06-1999
WO 9416718 A	04-08-1994	AU 687785 B	05-03-1998
		AU 6098394 A	15-08-1994
		CA 2155024 A	04-08-1994
		EP 0681477 A	15-11-1995
		FI 953569 A	25-09-1995
		JP 8505762 T	25-06-1996
		NO 952985 A	27-07-1995
		US 5750376 A	12-05-1998
		US 5980885 A	09-11-1999
		US 5851832 A	22-12-1998
		AU 665012 B	14-12-1995
		AU 2242592 A	11-02-1993
		CA 2113118 A	21-01-1993
		WO 9301275 A	21-01-1993
		EP 0594669 A	04-05-1994
		FI 935929 A	02-02-1994
		JP 6509225 T	20-10-1994
		NO 940056 A	03-03-1994
		US 5981165 A	09-11-1999
		AU 683023 B	30-10-1997
		AU 5147493 A	09-05-1994
		CA 2147162 A	28-04-1994
		WO 9409119 A	28-04-1994
		EP 0664832 A	02-08-1995
		FI 951677 A	07-04-1995
		JP 8502172 T	12-03-1996
		NO 951378 A	07-04-1995
		AU 703729 B	01-04-1999
		AU 4924197 A	12-03-1998
		AU 5367694 A	24-05-1994
		WO 9410292 A	11-05-1994
		EP 0669973 A	06-09-1995
		FI 952022 A	27-04-1995
		JP 8502652 T	26-03-1996
		NO 951617 A	27-04-1995



22

PCT

WORLD INTELLECTUAL PROPERTY ORGANIZATION  
International Bureau



INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification <sup>7</sup> : <b>C12N 5/00</b>		<b>A2</b>	(11) International Publication Number: <b>WO 00/05343</b>
			(43) International Publication Date: 3 February 2000 (03.02.00)
(21) International Application Number: PCT/US99/16825 (22) International Filing Date: 23 July 1999 (23.07.99) (30) Priority Data: 60/093,991                      24 July 1998 (24.07.98)                      US (71) Applicant (for all designated States except US): THE GOVERNMENT OF THE UNITED STATES OF AMERICA, represented by THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES [US/US]; Suite 325, 6011 Executive Boulevard, Rockville, MD 20852 (US). (72) Inventors; and (75) Inventors/Applicants (for US only): STUDER, Lorenz [CH/US]; 4858 Battery Lane #208, Bethesda, MD 20814 (US). MCKAY, Ron, D., G. [US/US]; 4401 Highland Avenue, Bethesda, MD 20814 (US). (74) Agent: BRÜESS, Steven, C.; Merchant & Gould P.C., 3100 Norwest Center, 90 South Seventh Street, Minneapolis, MN 55402-4131 (US).		(81) Designated States: AE, AL, AM, AT, AT (Utility model), AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, CZ (Utility model), DE, DE (Utility model), DK, DK (Utility model), EE, EE (Utility model), ES, FI, FI (Utility model), GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SK (Utility model), SL, TJ, TM, TR, TT, UA, UG, US, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).  <b>Published</b> <i>Without international search report and to be republished upon receipt of that report.</i>	
(54) Title: CELL EXPANSION SYSTEM FOR USE IN NEURAL TRANSPLANTATION  (57) Abstract  <p>The invention provides a method of culturing cells which includes a proliferating step in which the number of precursor cells is expanded and a differentiating step in which the expanded precursor cells develop into neuronal cells. The proliferating step includes the step of incubating the precursor cells in proliferating medium which includes basic fibroblast growth factor (bFGF). The differentiating step includes incubating the precursor cells in differentiation media in a manner effective to form a cellular aggregate that is not adhered to any surface of the incubation vessel. In a preferred embodiment, the cells are incubated in a roller tube. The differentiation media can also include at least one differentiating agent. The invention also provides a method for treating a neurological disorder, such as Parkinson's disease, a method of introducing a gene product into a brain of a patient, an assay for neurologically active substances, and a cell culture.</p>			

**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AT	Austria	FR	France	LU	Luxembourg	SN	Senegal
AU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GE	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	TJ	Tajikistan
BE	Belgium	GN	Guinea	MK	The former Yugoslav Republic of Macedonia	TM	Turkmenistan
BF	Burkina Faso	GR	Greece	ML	Mali	TR	Turkey
BG	Bulgaria	HU	Hungary	MN	Mongolia	TT	Trinidad and Tobago
BJ	Benin	IE	Ireland	MR	Mauritania	UA	Ukraine
BR	Brazil	IL	Israel	MW	Malawi	UG	Uganda
BY	Belarus	IS	Iceland	MX	Mexico	US	United States of America
CA	Canada	IT	Italy	NE	Niger	UZ	Uzbekistan
CF	Central African Republic	JP	Japan	NL	Netherlands	VN	Viet Nam
CG	Congo	KE	Kenya	NO	Norway	YU	Yugoslavia
CH	Switzerland	KG	Kyrgyzstan	NZ	New Zealand	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's Republic of Korea	PL	Poland		
CM	Cameroon	KR	Republic of Korea	PT	Portugal		
CN	China	KZ	Kazakstan	RO	Romania		
CU	Cuba	LC	Saint Lucia	RU	Russian Federation		
CZ	Czech Republic	LI	Liechtenstein	SD	Sudan		
DE	Germany	LK	Sri Lanka	SE	Sweden		
DK	Denmark	LR	Liberia	SG	Singapore		
EE	Estonia						

**CELL EXPANSION SYSTEM FOR USE IN NEURAL TRANSPLANTATION**

This application claims priority to United States Provisional Application Serial No. 60/093,991, filed July 24, 1998, entitled CELL EXPANSION SYSTEM FOR USE IN NEURAL TRANSPLANTATION, the disclosure of which is hereby  
5 incorporated by reference.

**Field of the Invention**

This invention relates to the use of differentiated cells in the treatment of neurodegenerative disorders.

10

**Background of the Invention**

Parkinson's disease is a neurodegenerative disorder affecting an estimated one million patients in the United States. Several strategies are being pursued to develop new therapies for Parkinsonian patients. These techniques range from the  
15 use of dopaminotrophic factors (Takayama et al., (1995) *Nature Med.* 1, 53-58 ) and viral vectors (Choi-Lundberg et al., (1997) *Science* 275, 838-841 ) to the transplantation of primary xenogeneic tissue (Deacon et al., (1997) *Nature Med.* 3, 350-353). Fetal nigral transplantation is a clinically promising experimental treatment in late stage Parkinson's disease. More than 200 patients have been  
20 transplanted worldwide and clinical improvement was confirmed (Olanow et al. (1996) *Trends Neurosci.* 19, 102-109 and Wenning et al., (1997) *Ann. Neurol.* 42, 95-107) and was correlated to good graft survival and innervation of the host striatum in post mortem studies of transplanted patients (Kordower et al., (1995) *N.Engl.J.Med.* 332, 1118-1124).

25 Cell transplantation usually involves transplanting primary cells or immortalized cells into a patient. There has been mixed success in clinical trials where primary cells have been utilized. It is believed that the inadequate supply of primary cells or use of different proportions of primary cell types cause many trials to fail or to give inconsistent results.

30 Furthermore, neural transplantation remains a controversial procedure. Current transplantation treatment involves the use of material derived from at least 3-5 embryos to obtain a clinically reliable improvement in the patient. This poses an enormous logistical and ethical dilemma.

For these reasons, much effort has been devoted to finding alternatives to fetal tissue for use in transplantation. Although use of neural stem cells is promising because stem cells can be proliferated prior to differentiation, such stem cells have a relatively low proportion (about 0.1%) dopaminergic neurons. Since the clinical efficacy of transplants is in large part dependent upon the number of dopaminergic cells transplanted, finding a method to increase the proportion of dopaminergic cells in a CNS stem cell culture would have obvious clinical benefits. Additionally, successful numerical expansion of primary CNS precursors could alleviate some of the ethical and technical difficulties involved in the use of human fetal tissue. There is thus a need for a process that will provide sufficient viable cells for a reliable, effective clinical cell transplantation.

#### **Brief Description of the Figures**

- FIG. 1 is a schematic diagram of the cell culturing method of the invention.
- FIG. 2 is a graph showing the numeric expansion of cells cultured in the presence of basic fibroblast growth factor (bFGF).
- FIG. 3 is a graph showing the percentage of TUNEL for cells grown in clusters compared to single cells. The graph shows that all surviving cells are growing in clusters.
- FIG. 4 is a graph showing the change in rotational behavior for rats receiving transplanted cells and control rats.
- FIG. 5 is a graph showing the effect of ascorbic acid and glutathione on the number of TH-ir cells grown in a cell culture.
- FIG. 6 is graphs showing the effects of ascorbic acid, dopamine, and D-acetyl cystein on the number of TH-ir cells grown in a cell culture.
- FIG. 7 is a graph showing dopamine levels in bFGF expanded precursor cells.
- FIG. 8 is a graph showing dopamine levels in bFGF expanded precursor cells.

#### **Summary of the Invention**

- A first aspect of the invention provides a method of culturing cells. The method includes a proliferating step in which the number of precursor cell is expanded. The proliferating step includes the step of incubating the precursor cells in proliferating medium which includes basic fibroblast growth factor (bFGF). Preferably the precursor cells are obtained from a human fetal tissue between

embryonic week 5 to embryonic week 8. The method also includes a differentiating step in which the expanded precursor cells develop into neuronal cells. The differentiating step includes incubating the precursor cells in differentiation media, wherein the cells are agitated during the incubation in a manner effective to form a cellular aggregate that is not adhered to any surface of the incubation vessel. In a preferred embodiment, the cells are incubated in a roller tube.

According to the invention, the differentiation media can also include at least one differentiating agent. Examples of differentiating agents include cyclic adenosine monophosphate (cAMP), dopamine, cAMP modulating agents and ascorbic acid. Preferably cAMP is N6,2'-O-Dibutyryl-adenosine 3':5' Cyclic Monophosphate (dbcAMP) and/or 8-Bromo-adenosine 3':5' Cyclic Monophosphate. These derivatives of cAMP are preferred for their enhanced ability to enter the cell. Preferably the cAMP modulating agent is capable of stimulating the cAMP pathway in the cell. More preferably, the cAMP modulating agent is a cAMP agonist. An example of a cAMP modulating agent includes forskolin.

The method of the invention can be used to culture a variety of cells, preferably neuronal cells, including, but not limited to, dopaminergic neuron cells, cholinergic neuronal cells and serotonergic cells. Examples of suitable precursor cells include mesencephalic cells, basal forebrain cells or spinal cord cells and nucleus raphe cells. The invention also provides a method for treating a neurological disorder, such as Parkinson's disease, a method of introducing a gene product into a brain of a patient, and an assay for neurologically active substances. Advantageously, the method of the invention allows direct transplantation of the cultured cells without the need for enzymatic digestion to remove the cultured cells from a culture dish matrix.

The invention also provides a cell culture which includes about 80% to about 95% neurons. The percentage of glial cells in the cell culture is about 1% to about 5%, more preferably about 2% to about 3%, most preferably about 2% to about 2.5% for astrocytes and about 0.5% to 2%, more preferably 1% to 1.5%, and most preferably about 1% to 1.1% for oligodendrocytes. In contrast, no published work as of yet records percentages of neurons higher than 50%. Furthermore, the percentage of astrocytes in our culture system is extremely low as compared to any other known system.

### Detailed Description of the Invention

A first aspect of the invention provides a method for generating neuronal cells by proliferating and differentiating precursor cells. In the proliferating step, the number of precursor cells is increased. According to the invention, precursor cells  
5 are incubated in the presence of proliferating media which includes basic fibroblast growth factor (bFGF). More preferably the precursor cells are obtained from a human fetal tissue between embryonic week 5 to embryonic week 8. The proliferating step of the invention provides an expansion of precursor cells by more than 1000-fold and thus decreases the problem of obtaining sufficient cells for a reliable, effective  
10 clinical cell transplantation.

In the differentiating step, the precursor cells are induced to differentiate into neuronal cells. The differentiating step of the invention includes the step of incubating the precursor cells in a differentiation vessel in the presence of differentiating media in a manner effective to form a free-floating reaggregation of  
15 differentiated cells (e.g., an aggregation that is not adhered to a surface of the differentiation vessel). Formation of a free-floating reaggregate of differentiated cells in the differentiation step of the invention obviates the need for mechanical or enzymatic dissociation of the differentiated cells which generally causes disruption of axodendritic trees and cell loss. Additionally, the reaggregates of differentiated  
20 cells can be directly loaded into a stereotactic needle and transplanted in toto.

The differentiation media can include differentiating agents such as cyclic adenosine 3',5'-phosphate (cAMP), cAMP modulators, dopamine and ascorbic acid. Preferably cAMP is N6,2-O-dibutyladenosine 3':5' cyclic monophosphate (dbcAMP) and/or 8-bromoadenosine 3':5' cyclic monophosphate. These derivatives  
25 of cAMP are preferred for their enhanced ability to enter the cell. Preferably the cAMP modulating agent is capable of stimulating the cAMP pathway in the cell. More preferably, the cAMP modulating agent is a cAMP agonist. An example of a cAMP modulating agent includes forskolin. As an alternative to dopamine, L-Dopa can be added as a differentiating agent. L-Dopa is converted in the cell into  
30 dopamine and released. Preferably ascorbic acid is L-ascorbic acid, although D-ascorbic acid can be used.

In a preferred embodiment, the differentiated cells are dopaminergic neurons. Dopaminergic neurons generated by the method of the invention are the first known

dopaminergic neurons derived from *in vitro* expanded precursors that function *in vivo*. Dopaminergic neurons cultured using the method of the invention are particularly suitable for use in the treatment of Parkinson's disease.

5 I. Method of Culturing Cells

A first aspect of the invention provides a method for generating a differentiated cell culture by proliferating and differentiating a population of precursor cells. The method of the invention is applicable to a wide variety of precursor and differentiated cells. In a preferred embodiment, the method of the  
10 invention is used to generate differentiated neural cells.

A. Proliferating Step

In the proliferating step of the invention, precursor cells are incubated in proliferating media to increase the number of precursor cells. As used herein, the  
15 term "precursor cell" refers to a cell that is capable of differentiating to form a specific cell type, but does not yet express proteins associated with a specific cell type.

Typically, the precursor cells used in connection with the invention are cells that are associated with the central nervous system (CNS), referred to as CNS stem  
20 cells. The term "central nervous system" refers to the part of the nervous system of an animal that is the main site of integration of nervous activity. The central nervous system generally includes a brain or cerebral ganglia and a nerve cord. More preferably, the precursor cells are mammalian CNS stem cells, most preferably human fetal cells. CNS stem cells include cells from ventral midbrain, dorsal  
25 midbrain, lateral ganglionic eminence, hippocampus, cerebral cortex, striatum, septum, diencephalon, hindbrain and spinal cord. Preferably, the precursor cells are from the midbrain.

Most preferably, the method of the invention employs precursor cells obtained during a "sensitive period" before the cells have differentiated. As used  
30 herein, the "sensitive period" is the period during which precursor cells can be obtained that produce a very large number of a specific differentiated cell subtype. Preferably, the method of the invention employs precursor cells obtained from the midbrain before the cells differentiate into dopaminergic neurons. The inventors have found that later precursors under identical conditions produce much lower

amounts of dopaminergic neurons *in vitro*. The sensitive period is the rat embryonic day 10 to embryonic day 12. In human fetal tissue the sensitive age is between embryonic week 5 to embryonic week 8.

According to the invention, precursor cells are triturated as described by Studer, L. in Current Protocols in Neuroscience (eds McKay, R.D. & Gerfen, C.R.) John Wiley & Sons Inc., New York, 1997) and dispersed in calcium/magnesium free HBSS (Hank's balanced salt solution) to a quasi single cell suspension. As used herein, the term "quasi single cell suspension" means that at least 80% of the cells are present as single cells and the remaining cells form small clusters of less than 200 cells. Preferably the suspension has a concentration of about  $50 \times 10^3$  cells/ml to about  $500 \times 10^3$  cells/ml, more preferably about  $100 \times 10^3$  cells/ml to about  $250 \times 10^3$  cells/ml, most preferably about  $150 \times 10^3$  cells/ml to about  $200 \times 10^3$  cells/ml.

The suspension of precursor cells is then plated onto proliferating medium. As used herein, the term "proliferating medium" refers to a solid or liquid substrate that can support cell growth. Typically, proliferating medium provides water, a source of energy, carbon, nitrogen, mineral elements, and vitamins. The medium may consist of pure compounds (defined medium) or crude animal or plant extracts (complex medium). The term "defined medium" refers to the fact that all the components and their concentrations are known. Usually the term is used in contrast to "serum-containing" medium where not all the components and their concentrations are known. The medium is preferably a solution of nutrients, water, salts, sugars, amino acids etc. containing the source of energy for the cells and also containing some hormones (e.g. progesterone) and trace elements (e.g. selenite) that enhance their general growth and survival. More preferably, the proliferating media includes serum free medium. Examples of serum free media include Dulbecco's Modified Eagle's Medium (DMEM) and Neurobasal® medium. Preferably, the proliferating media includes supplements such as  $N_2$  supplement and/or B27 supplement. More preferably, the proliferating media is coated a substance that makes the surface of the petri dish sticky and facilitates attachment of the stem cells. Preferably, the surface is coated with polyornithine and fibronectin before the cells are plated. Polyornithine and fibronectin are preferred for use in the method of the invention because they facilitate adherence of the cells to the medium but still allow the cells to proliferate because they do not cause cell differentiation (in contrast to other substrates used in cell culture, such as laminin).



- According to the invention, the proliferating medium is supplemented with basic fibroblast growth factor (bFGF). Preferably the medium is supplemented with bFGF on a daily basis, for example, by adding a solution containing bFGF dissolved in buffer. An example of a suitable buffer is phosphate buffered saline (PBS) and
- 5 bovine serum albumin. A preferred bFGF solution contains about 5 µg/ml to about 20 µg/ml bFGF, more preferably about 7 µg/ml to about 15 µg/ml bFGF, most preferably about 10 µg/ml to about 10.5 µg/ml bFGF. Preferably the bFGF solution contains about 0.05% to about 0.5%, more preferably about 0.1% to about 0.2% bovine serum albumin.
- 10 About 1 µl to about 20 µl, more preferably about 5 µl to about 10 µl of the bFGF solution is added to a cell culture containing about 5 ml medium to produce a final concentration of about 5 ng/ml to about 100 ng/ml bFGF (final concentration in the medium), more preferably about 10 to about 20 ng/ml (final concentration in the medium).
- 15 The precursor cells are incubated for about 5 to about 10 days, more preferably about 5 to about 7 days. Although expansion beyond the first week in culture leads to an exponential increase in cell number, the percentage of dopamine neurons obtained from long term expanded precursors decreases rapidly, corresponding to only about 1–2 % of the total population.
- 20 Additional factors that promote proliferation of precursor cells include fibroblast growth factor 4 (FGF4) and vasointestinal peptide (VIP).

#### B. Differentiating Step

- In the differentiating step, the precursor cells are transformed into
- 25 differentiated cells. As used herein, a "differentiated cell" is a cell that produces specialized proteins associated with a specific cell type. The method is applicable to a variety of cell types. However, the method is preferably used to culture differentiated neural cells. As used herein, the term "neuronal cells" refers to neurons. In contrast, the term "neural cells" refers more broadly to cells associated
- 30 with the central nervous system (CNS) of an organism, for example, neurons, glial cells, precursor cells, etc. For example, the method of the invention can be used to generate differentiated neuronal cells such as dopaminergic, cholinergic or serotonergic neuronal cells from precursor cells from the midbrain/hindbrain junction, the basal forebrain and spinal cord or nucleus raphe, respectively. The

invention is most preferably directed towards a method of proliferating and differentiating mesencephalon precursor cells to form functional dopaminergic neurons.

As used herein, the term dopaminergic neuronal cells refers to those cells generally found in the region of the ventral midbrain (VM) known as the substantia nigra pars compacta that project to the striatum. The precursor cells are typically found near the midbrain/hindbrain junction of an intact brain. Dopaminergic neurons can be characterized by their secretion of dopamine as a neurotransmitter and high levels of expression of tyrosine hydroxylase (TH), an enzyme that catalyzes the rate limiting step in the biosynthesis of dopamine.

In the differentiating step of the invention, precursor cells are combined with differentiation medium in an incubation vessel and incubated for an amount of time sufficient to allow for the differentiation of the precursor cells into neuronal cells. Neurobasal/B27 medium (Gibco, Life Technologies) with or without serum supplement (1–10% fetal bovine serum) is a preferred differentiation medium. Like proliferation medium, differentiation medium contains a variety of nutrients necessary for cell survival. However, in contrast to proliferation medium, differentiation medium does not include mitogens which enhance cellular proliferation, for example bFGF. Additionally, differentiation medium may contain supplements to enhance differentiation, such as B27. Those of skill in the art are familiar with a variety of media suitable for use as differentiation media. The yield of differentiated cells after expansion and differentiation is typically about 15% to about 20%.

#### 1. Reaggregation System

According to the invention, a reaggregation system is used in the differentiating step. In contrast to conventional cell cultures in which cultured cells are adhered to a surface of incubation vessel, the reaggregation system of the invention is a three-dimensional system that allows conversion of precursor cells into differentiated cells which exist in the differentiating media as free-floating reagggregates. As used herein, the phrase "adhered to" refers to cellular attachment via receptors on the cell surface, such as the interaction between cells and a cell culture matrix containing laminin, fibronectin, polylysine or other attachment factors. Advantageously, the cells cultured according to the reaggregation system of

the invention can be transplanted without enzymatic digestion to remove the cells from the culture dish matrix. Enzymatic digestion tends to kill most cultured cells.

In the reaggregation system of the invention, the incubation vessel is rotated during incubation in a manner effective to form a differentiated cell cluster that is not adhered to any of the surfaces of the incubation vessel. Examples of suitable incubation vessels include enclosed spheres, tubes or drums. Generally, suitable incubation vessels are polystyrene based plastic tubes, for example, Falcon #2095. The quality of the tubes is important as cells might adhere to other plastics despite the rotational movement. Additionally, other plastics might negatively influence cell survival during differentiation. Most preferably, the incubation vessel is a roller tube or drum such as the roller drum available from Bellco Glass, Inc. (product number 7736-10164). According to the invention, the incubation vessel is slowly rotated around a horizontal axis during incubation to prevent attachment of single cells to the incubation vessel and to further interaction among cells to enhance aggregation. Preferably, the incubation vessel revolves at a speed of about 1 to about 4 rotations per minute. Most preferably, the incubation vessel is placed in a tissue culture incubator and tilted 5 degrees.

According to the invention, the precursor cells are incubated in the differentiation medium for about 5 to about 10 days, more preferably about 5 to about 7 days.

## 2. Differentiation Factors

According to another aspect of the invention, the differentiation medium includes at least one differentiation factor which improves differentiation of precursor cells into differentiated cells. Differentiation factors of the invention include cyclic adenosine 3',5'-phosphate (cAMP), cAMP modulators, dopamine and ascorbic acid. As used herein, cAMP includes N6,2-O-dibutyrladenosine 3':5' cyclic monophosphate (dbcAMP) and/or 8-bromoadenosine 3':5' cyclic monophosphate. These derivatives of cAMP are preferred for their enhanced ability to enter the cell.

As used herein, the term cAMP modulator refers to a molecule that is capable of up-regulating or stimulating cAMP production within a cell. Preferably, the cAMP modulating agent is a cAMP agonist. The cAMP modulator can be exogenous to the patient's system or may be an endogenous compound. For

example, the cAMP modulator can be a naturally occurring peptide, protein or enzyme, or a peptide or protein fragment which catalyzes the production of cAMP. An examples of a suitable cAMP modulator is forskolin.

As an alternative to dopamine, the differentiating agent can includes  
5 substances which stimulate dopamine production or are converted into dopamine *in vivo* ("dopamine simulator"). For example, L-Dopa can be added as a differentiating agent. L-Dopa is converted in the cell into dopamine and released. Ascorbic acid includes L-ascorbic acid and D-ascorbic acid, although L-ascorbic acid is preferred.

Preferably, the differentiation media includes at least one of cAMP,  
10 forskolin, dopamine and ascorbic acid. Preferably, cAMP is present in a concentration from about 1  $\mu$ M to about 5 mM, more preferably about 10 $\mu$ M to about 1 mM. Typically, differentiation media containing cAMP results in about a 50% to about 300% increase in the total number of differentiated neural cells from precursor cells. Most typically, an increase in tyrosine hydroxylase immunoreactive  
15 (TH-ir) cells, also called dopaminergic cells is observed. Preferably forskolin is present in the differentiation medium at a concentration from about 1  $\mu$ M to about 100  $\mu$ M, more preferably about 2 $\mu$ M to about 10 $\mu$ M. Typically, differentiation media containing forskolin results in about a 40% to about 150% increase in the total number of differentiated neural cells, particularly TH-ir cells. Preferably dopamine  
20 is present at a concentration from about 0.1  $\mu$ M to about 1 mM, more preferably about 1 $\mu$ M to about 1mM to provide about a 300% to about 700% increase in the total number of TH-ir cells. The effects of cAMP, forskolin and dopamine appear to be additive.

Addition of ascorbic acid to a cell culture during differentiation dramatically  
25 increases the percentage of resulting functional neuronal cells, particularly TH-ir cells. Preferably ascorbic acid is included in connection with dopamine to prevent auto-oxidation of dopamine in the medium (the effects of dopamine and ascorbic acid are additive). Although, ascorbic acid by itself has a stronger effect than dopamine on induction of dopaminergic neurons. Typically an average about 5 to  
30 about 20 fold (500 to 2000%) increase in TH-ir neurons is observed. This surprising effect of ascorbic acid is not observed with other antioxydative agent. Without intending to be bound by theory, it is believed that ascorbic acid acts via a mechanism distinct from its antioxydative properties. Because ascorbic acid is also

an essential nutritional supplement (Vitamin C), it is unlikely to have unwanted side effects.

## II. Differentiated Cell Culture

5           The invention also provides a differentiated cell culture which includes neural cells that function *in vivo*. Preferably, the differentiated cell culture includes dopaminergic neurons that function *in vivo*. As used herein, the phrase "function *in vivo*" means that the cells can survive in a relevant animal model, retain their identity after transplantation, integrate into the host brain, and improve animal behavior.

10           The invention also provides a cell culture which includes about 80% to about 95% neurons. The percentage of glial cells in the cell culture is about 1% to about 5%, more preferably about 2% to about 3%, most preferably about 2% to about 2.5% for astrocytes and about 0.5% to 2%, more preferably 1% to 1.5%, and most preferably about 1% to 1.1% for oligodendrocytes. In contrast, no published work as  
15 of yet records percentages of neurons higher than 50%. Furthermore, the percentage of astrocytes in our culture system is extremely low as compared to any other known system.

## III. Methods of Use

### 20           A. Treatment of Neurological Disorders

          In one embodiment, the present invention provides a method of treating a patient suffering from a neurological disorder, such as a central nervous system disorder, or alleviating the symptoms of such a disorder, by administering cells cultured according to the method of the invention to the patient's brain. As used  
25 herein, the terms "treating" and "treatment" refer to curative therapy, prophylactic therapy, and preventative therapy. The term "therapy" as used herein, refers to therapeutic methods for reducing or eliminating the symptoms of the particular disorder for which treatment is sought. The term "patient" as used herein generally refers to any warm blooded mammal, such as humans, non-human primates, rodents  
30 and the like which is to be the recipient of the particular treatment. Examples of neurological disorders include Parkinson's disease, Huntington's disease, Alzheimer's disease, severe seizure disorders including epilepsy, familial dysautonomia as well as injury or trauma to the nervous system, such as neurotoxic injury or disorders of mood and behavior such as addiction and schizophrenia.

In this method of the invention, precursor cells are cultured *in vitro* as described above to form differentiated neuronal cells which are then transplanted into the brain of a patient in need thereof.

5                   1.       Formulations

After the cell reaggregate is formed according to the cell culturing method previously described, the reaggregate is suspended in a physiologically compatible carrier. As used herein, the term "physiologically compatible carrier" refers to a carrier that is compatible with the other ingredients of the formulation and not  
10 deleterious to the recipient thereof. Those of skill in the art are familiar with physiologically compatible carriers. Examples of suitable carriers include cell culture medium (e.g., Eagle's minimal essential media), phosphate buffered saline, and Hank's balanced salt solution +/- glucose (HBSS).

The volume of cell suspension administered to a patient will vary depending  
15 on the site of implantation, treatment goal and amount of cells in solution. Typically the amount of cells administered to a patient will be a "therapeutically effective amount." As used herein, a therapeutically effective amount refers to the number of transplanted cells which are required to effect treatment of the particular disorder. For example, where the treatment is for Parkinson's disease, transplantation of a  
20 therapeutically effective amount of cells will typically produce a reduction in the amount and/or severity of the symptoms associated with that disorder, e.g., rigidity, akinesia and gait disorder.

It is estimated that a severe Parkinson's patient will need at least about 100,000 surviving dopamine cells per grafted side to have a substantial beneficial  
25 effect from the transplantation. As cell survival is low in brain tissue transplantation in general (5 – 10%) an estimated 1 – 4 million dopaminergic neurons should be transplanted. The invention delivers aggregates with about 15% TH cells and containing about 50,000 – 100,000 cells in total (7500 – 15000 TH cells/aggregate). This means that for a successful therapy about 100 – 500 aggregates should be  
30 transplanted per patient side. The aggregates are collected together and then loaded directly into a stereotactic needle. Aggregates do not need any special formulation if total duration of the implantation procedure is less than 1 hour. Preferentially, the prepared spheres are maintained in medium and will be loaded into the needle immediately before introducing the needle into the patients brain.

## 2. Methods of administration

According to the invention, the cell reaggregate is administered to the patient's brain. The reaggregate may be implanted within the parenchyma of the brain, in the space containing cerebrospinal fluids, such as the sub-arachnoid space or ventricles, or extaneurally. As used herein, the term "extraneurally" is intended to indicate regions of the patient which are not within the central nervous system or peripheral nervous system, such as the celiac ganglion or sciatic nerve. "Central nervous system" is meant to include all structures within the dura mater.

Typically, the reaggregations are administered by injection into the brain of the patient. Injections can generally be made with a sterilized syringe having an 18-21 gauge needle. Although the exact size needle will depend on the species being treated, the needle should not be bigger than 1 mm diameter in any species. Those of skill in the art are familiar with techniques for administering cells to the brain of a patient.

## 3. Diseases

### a. *Parkinson's Disease*

Parkinson's disease (PD) is characterized by the progressive loss in function of dopaminergic neurons. The progressive loss of dopaminergic function interferes with the normal working of the neuronal circuitry necessary for motor control so that patients with PD show characteristic motor disturbances such as akinesia, rigidity and rest tremor. Other symptoms include pain, impaired olfaction, alterations of personality and depression. Quinn et al., (1997) Baillieres Clin. Neurol. 6:1-13.

According to the invention, dopaminergic neuronal cells are generated using the cell culturing method described above. The dopaminergic cells are then administered to the brain of the patient in need thereof to produce dopamine and restore behavioral deficits in the patient. Preferably, the cells are administered to the basal ganglia of the patient.

### b. *Alzheimer's disease*

Alzheimer's disease involves a deficit in cholinergic cells in the nucleus basalis. Thus, a subject having Alzheimer's disease may be treated by administering

cells cultured according to the method of the invention that are capable of producing acetylcholine.

*c. Huntington's disease*

5           Huntington's disease involves a gross wasting of the head of the caudate nucleus and putamen, usually accompanied by moderate disease of the gyrus. A subject suffering from Huntington's disease can be treated by implanting cells cultured according to the method of the invention that are capable of producing the neurotransmitters gamma amino butyric acid (GABA), acetylcholine, or a mixture  
10 thereof.

4.       Gene Therapy

          In an additional embodiment of the invention, the cultured cells may be transfected with a nucleic acid which encodes a neurologically relevant polypeptide.  
15       The term "neurologically relevant peptide" generally refers to a peptide or protein which catalyzes a reaction within the tissues of the central nervous system. Such peptides may be naturally occurring neural peptides, proteins or enzymes, or may be peptide or protein fragments which have therapeutic activity within the central nervous system.

20           According to this aspect of the invention, precursor cells are cultured *in vitro* as described above and an exogenous gene encoding a desired gene product is introduced into the cells, for example, by transfection. The transfected cultured cells can then be administered to a patient with a neurological disorder.

25                               *a. Genes of interest*

          Examples of neurologically relevant peptides include neural growth factors and enzymes used to catalyze the production of important neurochemicals or their intermediates. The peptide encoded by the nucleic acid may be exogenous to the host or endogenous. For example, an endogenous gene that supplements or replaces  
30 deficient production of a peptide by the tissue of the host wherein such deficiency is a cause of the symptoms of a particular disorder. In this case, the cell lines act as an artificial source of the peptide. Alternatively, the peptide may be an enzyme which catalyzes the production of a therapeutic or neurologically relevant compound. Again, such compounds may be exogenous to the patient's system or may be an



endogenous compound whose synthetic pathway is otherwise impaired. Examples of neurologically relevant compounds include tyrosine hydroxylase, nerve growth factor (NGF), brain derived neurotrophic factor (BDGF), basic fibroblast growth factor (bFGF) and glial cell line derived growth factor (GDGF).

5

*b. Gene Constructs*

Typically the gene of interest is cloned into an expression vector. As used herein, the term "expression vector" refers to a vector which (due to the presence of appropriate transcriptional and/or translational control sequences) is capable of  
10 expressing a DNA molecule which has been cloned into the vector and of thereby producing a polypeptide or protein. A nucleic acid molecule, such as DNA, is said to be "capable of expressing" a polypeptide if it contains nucleotide sequences which contain transcriptional and translational regulatory information and such sequences are "operably linked" to a nucleotide sequence that encodes the polypeptide. An  
15 operable linkage is a linkage in which the regulatory DNA sequences and the DNA sequence sought to be expressed are connected in such a way as to permit gene expression. Regulatory elements include elements such as a promoter, an initiation codon, a stop codon and a polyadenylation signal.

Expression of the cloned sequences occurs when the expression vector is  
20 introduced into an appropriate host cell. In this case, the preferred host cell is a neuronal cell. Procedures for preparing expression vectors are known to those of skill in the art and can be found in Sambrook et al., Molecular Cloning: A Laboratory Manual, 2nd Ed., Cold Spring Harbor Press, Cold Spring Harbor, N.Y. (1989).

25

**IV. Assay**

Another aspect of the invention provides an assay for evaluating the effect of substances on differentiated cells, preferably differentiated neuronal cells. The assay can be used to discover drugs capable of regulating the survival, proliferation or  
30 genesis of neuronal cells. According to this aspect of the invention, a population of neuronal cells is produced by the cell culturing method described above. The population of cells is contacted with a substance of interest and the effect on the cell population is monitored. The impact on the cell population can be monitored, for example, by determining whether the substance causes an increase or decrease in the

expression of a reporter gene by examining the level of its protein, RNA, biological activity or other methods. For example, in one immunocytochemical method, the dopaminergic cells are monitored to determine the impact of a substance on the expression of tyrosine hydroxylase.

- 5 Substances of interest include extracts from tissues or cells, conditioned media from primary cells or cell lines, polypeptides whether naturally occurring or recombinant, nucleotides (DNA or RNA) and non-protein molecules whether naturally occurring or chemically synthesized.

10 Examples

Example 1. Tissue Culture Expansion

- Tissue was obtained from the ventral mesencephalon of E12 rat embryos (Sprague Dawley, plug day = day 0,) as described by Studer et al. in *Current*  
15 *Protocols in Neuroscience* (eds McKay, R.D. & Gerfen, C.R.) John Wiley & Sons Inc., New York, (1997).

- Tissue pieces were spun in a centrifuge at 209g for 5 minutes and mechanically triturated to a quasi single cell suspension in HBSS and counted. 5 ml of cell suspension at a concentration of  $150 - 200 \times 10^3$  cells/ml was plated on a  
20 10cm culture dishes containing DMEM/F12/N2 medium ( Bottenstein, J.E. & Sato, G.H. Growth of a rat neuroblastoma cell line in serum-free supplemented medium. Proc.Natl.Acad.Sci.USA 76, 514-517 (1979) modified according to ( Johe, K.K., Hazel, T.G., Müller, T., Dugich-Djordjevic, M.M. & McKay, R.D.G. Single factors direct the differentiation of stem cells from the fetal and adult central nervous  
25 system. Genes and Development 10, 3129-3140 (1996) that had been previously coated with polyornithine (15µg/ml) and fibronectin (1µg/ml).

bFGF was added to the culture medium on a daily basis to a final concentration of 10 – 20 ng bFGF/ml medium. The medium was changed every other day.

- 30 After 1 week of treatment with bFGF, the cells proliferated and formed clusters that grew to macroscopic size increasing the cell number from  $800 \times 10^3$  to  $7,417 \times 10^3 \pm 1,066 \times 10^3$  cells (N=12). Cultures grown without bFGF exhibited a substantial net cell loss. Figure 2 shows a comparison of the growth rate between bFGF treated cells and control cultures. Additionally, after treatment with

bFGF all surviving cells were immunoreactive for the nestin intermediate filament a marker for immature neuroepithelial precursors. The procedure used to determine the immunoreactivity of the cells for the nestin intermediate filament marker can be found in Frederiksen et al., (1988) *J.Neurosci.* 8, 1144–1151 and Lendahl et al.,  
5 (1990) *Cell* 60, 585–595. TH monoclonal 1:10000 (Sigma), nestin #130 polyclonal 1:500 (M. Marvin and R.D.G. McKay, NINDS, NIH, Bethesda, MD).

#### A. bFGF receptor expression

bFGF receptor expression was studied to determine the percentage of cells  
10 that respond to bFGF to determine what fraction of cells would be capable of expanding. bFGF–receptor expression was assayed by standard immunohistochemistry procedures using bFGF receptor monoclonal 1:100 (Sigma). bFGF receptor expression was present in most cells throughout expansion (88 +/- 4 %).

15

#### B. TUNEL

Terminal deoxynucleotidyl transferase–mediated deoxyuridine triphosphate nick end labeling (TUNEL; Boehringer–Mannheim) was performed according to the manufacturer's specifications. Briefly, cells, cultured as described above, were fixed  
20 in 4% paraformaldehyde/0.15% picric acid after 7 hours, 1 day, 2 days, 4 days or 8 days of expansion and labeled using a TUNEL cell death kit (Boehringer–Mannheim, 1684817).

Briefly, the TUNEL reaction labels DNA end fragment. The number of DNA end fragments is increased as a cell undergoes death due to DNA  
25 fragmentation. All negative controls (no deoxynucleotidyl transferase in the reaction mixture) were devoid of any labeling.

TUNEL labeling demonstrated that cells not responding to the mitogenic activity of bFGF, as assessed by time lapse photomicrography, were prone to cell death. This shows that cellular proliferation is stimulated by bFGF. The  
30 proliferating cells form clusters as assessed by time lapse photography. Cells that did not form clusters and did not divide *in vitro* were prone to cell death. In contrast, cell death within proliferating clusters was relatively rare. As clusters are derived from dividing cells, only proliferating cells (that respond to bFGF) survive. This leads to a near pure population of precursors over time (differentiated cells die).

**Example 2. Differentiation of Tissue Culture Cells**

Differentiation was induced by removal of bFGF from the medium. Upon removal of bFGF from the culture medium, extensive aborizations developed  
5 interconnecting large clusters of cell bodies. The cells were grown on culture dishes, proliferated with bFGF for 1 week and then maintained in the absence of bFGF in serum-free medium for 6 days. This "bFGF withdrawal" without any other differentiation agents works when cells have grown to high cell density and are adherent to a substrate. For reaggregates Neurobasal/B27 +/- serum is preferable.

10 Tissue culture was prepared as described in Example 1. The growth medium of expanded precursors from 3 independent culture series was collected after 5-7 days of differentiation under serum-free conditions and immediately stabilized by adding 88µl of 85% orthophosphoric acid and 4.4mg of metabisulfite to each sample ml. Additional cultures of the same series were placed in 5 ml Hank's basic salt  
15 solution (HBSS) for 25 minutes at 37° C either under basal conditions (HBSS only) or under stimulation with 56mM KCl. 56mM KCl was added to assay evoked release, i.e., dopamine release in response to depolarization by KCl (depolarization by KCl leads to release of synaptic vesicles in neurons). This provides a more specific test than release in HBSS where synaptic release is not directly tested.

20

**A. Ki-67**

Cell proliferation during the differentiation phase was monitored by an immunohistochemical test for the proliferation marker Ki-67 using Ki-67 polyclonal 1:1000 (Novocastra) and the procedure described by the manufacturer.  
25 No substantial cell proliferation occurred during the differentiation phase. Only a small fraction (1.2% +/- 0.9% , N=10) of the cells were mitotically active after 7 days of differentiation.

**B. TuJ1**

30 Using general immunohistochemical procedures known to those of skill in the art and TuJ1 monoclonal 1:500 (Berkley Antibody Company), the cell bodies and fiber bundles were examined for immunoreactivity for β-tubulin type III. Cell bodies and fiber bundles were strongly immunoreactive for β-Tubulin type III

(TuJ1).  $\beta$ -tubulin is a marker for neuronal cells and is used to confirm neuronal identity and dendrite outgrowth.

### C. TH-IR

5 Using general immunohistochemical procedures known to those of skill in the art, the immunoreactivity of the cells to TH was examined using TH polyclonal 1:500 (Pel Freeze). While no tyrosine hydroxylase (a rate limiting enzyme in the synthesis of dopamine) immunoreactive (TH-ir) cells could be detected in the tissue at the time of dissection, after 7 days of differentiation 18.4%  $\pm$  5.1% of the total  
10 cell population was immunoreactive for TH. TH-ir cells were also immunoreactive for dopamine, dopamine transporter (DAT) and for TuJ1. The percentage of TH-ir cells in non-expanded cultures, grown without bFGF was 5.6  $\pm$  1.3 %.

One E12 embryo yielded 100–120,000 nigral cells at the day of dissection that were then expanded 10 fold, 18.4% of which stained positive for TH (180–  
15 220,000 TH-ir cells). When compared to the total number of dopaminergic neurons present in the adult rat (26–30,000) (Guyenet et al., (1981) *Brain Res.* 213, 291–305 and Rosenthal, (1998) *Neuron* 20, 169–172) the expansion procedure of the invention leads to an estimated 7 fold increase in TH-ir cell number.

### 20 D. HPLC- Dopamine

Dopamine staining was carried out on cultures using dopamine polyclonal 1:500 (Chemicon). The cultures were fixed in 5% glutaraldehyde and 1% metabisulfite in Tris buffer and then kept in metabisulfite containing solutions prior to incubation in the secondary antibody. Dopamine was extracted by aluminum  
25 adsorption as described by Studer et al. (1996) *Brain Res. Bull.* 41, 143–150. Separation of the injected samples (20 $\mu$ l) was achieved by isocratic elution on a Hewlett Packard Series 1050 HPLC system with a reverse-phase C18 column (3 $\mu$ m particle size, 80 x 4.6mm dimension, (ESA)) in a commercially available MD-TM mobile phase (ESA). The flow rate was set at 1ml/min resulting in a working  
30 pressure of 100 bar and an elution time of 2.7 minutes for dopamine. The oxidative potential of the analytical cell (ESA Mod. 5011) was set at +325 mV. Results were validated by co-elution with dopamine standards under varying buffer conditions and detector settings. No dopamine was detected in unconditioned control medium and HBSS.

Reverse phase HPLC analysis with electrochemical detection demonstrated that 1ml medium, collected from expanded precursors after 5–7 days of differentiation, contained between 80–250 pg of dopamine. Similar dopamine levels could be detected in the supernatant of differentiated cultures maintained in HBSS for 25 minutes (162  $\pm$  54 pg dopamine/ml HBSS, N=3).

Evoked release by exposing cultures to 56mM KCl in HBSS for 25 minutes led to a 3–4 fold increase in dopamine levels in the supernatant (572  $\pm$  145 pg dopamine/ml, N=3). These data demonstrate that dividing precursor populations efficiently generate dopaminergic neurons.

Thus a more than 3 fold increase in the percentage of dopaminergic neurons (18.4%) derived from expanded and differentiated precursors was observed as compared to non-expanded and differentiated precursors (5.6%). When this is multiplied by a 10 fold increase in total cell number obtained during the expansion phase, an estimated 30 fold increase in the in vitro yield of nigral dopaminergic neurons is obtained.

#### E. BrdU

Bromodeoxy-Uridine (BrdU; 1 $\mu$ M, Boehringer-Mannheim) was added to the serum-free medium at days 1,3 and 5 of the expansion phase. Cells were marked after plating with a 3 mm circle (Nikon) on the bottom of the plate (Johe et al., (1996) *Genes and Development* 10, 3129–3140). Cells were followed daily under phase contrast microscopy and pictures were taken from selected cells and cell clusters daily.

BrdU immunohistochemistry was performed after postfixation in 95% Ethanol/ 5% glacial acetic acid and incubation in primary antibodies and nucleases (Amersham Life Science). An average of 41%  $\pm$  14% (N=12) of all dopaminergic cells had clearly incorporated BrdU. The percentage of BrdU labeling in the total cell population was 47%  $\pm$  21% (N=12). This is a minimum estimate as higher BrdU concentrations (10 $\mu$ M) led to increased labeling rates but dramatically reduced overall cell viability (data not shown).

Bromodeoxy-Uridine (BrdU) labeling confirmed that differentiated dopaminergic neurons were derived from precursor cells that had proliferated in vitro.

#### F. TH-BrdU double immunohistochemistry

The cultures were analyzed by confocal microscopy with z-axis sectioning for TH-BrdU double labeling after differentiation. Appropriate FITC and LRSC labeled secondary antibodies were used for double immunohistochemistry TH-BrdU.

#### Example 3. Ascorbic acid

Ascorbic acid was obtained from SIGMA (A-1417; Lot 105H0138) and used at various concentrations ranging from 1nM – 1mM to obtain a dose-response curve. The effect of ascorbic acid on dopaminergic differentiation of long-term expanded mesencephalic precursors was tested during early and late proliferation as well as during cell differentiation.

#### A. Cell culture and immunohistochemistry

Briefly, E12 mesencephalic precursors were proliferated for 12–14 days in vitro with 20ng/ml bFGF (average expansion factor 40–200 fold) followed by 4–7 days of differentiation upon bFGF withdrawal and exposure to the various differentiation agents refers to the experimental assay in general. We tested the effects of many possible differentiation agents such as NGF, BDNF, NT3, NT4/5, GDNF, SHH, FGF8, interleukin1, Neurturin, cGMP and many others. Ascorbic acid was found to be the most effective agent of all agents tested (see above) with respect to the yield of dopaminergic neurons that can be obtained from expanded precursors. The conclusion is that Ascorbic acid at 100uM has an unsurpassed effect on dopaminergic differentiation in our expansion system.

Cells were treated with 100uM ascorbic acid. Ascorbic acid was dissolved in PBS with 0.1% bovine serum albumin at 100mM stock solution. It was then used in 1:1000 dilution by adding it directly into the culture medium. Cells were then fixed in 0.15% picric acid/4% paraformaldehyde and stained for tyrosine-hydroxylase (PelFreeze P40101-0). The number of TH-ir cells per well were scored using a stereological counting frame.

During cell differentiation ascorbic acid showed a strong dose-response relationship with a maximal effect at 100μM (Figure 5). Ascorbic acid has a very strong effect on dopaminergic differentiation at the time when differentiation is induced. This effect confirms the hypothesis that ascorbic acid is important at the

step from the precursor to the differentiated neuron and increases the yield of neurons of the dopaminergic type.

#### B. Phase of ascorbic acid activity

5 To determine the phases during which ascorbic acid is most effective in our precursor system we treated the cells either during early expansion (Po exp.), late expansion (P1 exp.) or during cell differentiation (P1 diff.) as well as all the possible combinations (see Figure 6). The results revealed that ascorbic acid acts mostly during the differentiation phase. Treatment during the late expansion phase has a  
10 slightly negative effect and treatment during the early expansion phase give a small improvement in dopaminergic yield.

#### C. Other antioxidants

In addition to glutathione (Figure 5) we also tested D-acetylcystein, ebselin  
15 and combinations thereof, for possible effects on dopaminergic differentiation. However, none of the antioxidants tested influenced dopaminergic cell number (Figure 6). We also assessed the level of oxydative stress in our culture system by various assays.

Lipid peroxydation is a colorimetric assay (OXIS BIOXYTECH® LPO-  
20 568™; Oxis International Inc.) and was used according to the specifications of the manufacturer. H<sub>2</sub>O<sub>2</sub> assay measures the conversion of 2',7' dicholorofluorescin diacetate ( Molecular Probes D-399) into 2',7' dicholorofluorescin catalyzed by H<sub>2</sub>O<sub>2</sub>. The assay was performed according to the specifications of the manufacturer. Immunohistochemistry for oxydative stress markers by the DAB-peroxydase  
25 technique was performed on cells differentiated in the presence or absence of ascorbic acid, glutathione or D-acetyl-cystein plus ebselin. The following antibodies were used:

Anti-hemoxygenase I	monoclonal AB	OSA-111	Stressgen
Anti-8-hydroxyguanosine	monoclonal AB	12501	QED Bioscience Inc.
Anti-Nitrotyrosine	polyclonal (sheep) AB	24312	Oxis International Inc.

All these assays showed very low to undetectable levels of oxydative stress  
30 in our culture system in general. No significant differences between control, ascorbic acid and the other antioxidants tested were found regarding lipid



peroxydation,  $H_2O_2$  levels and staining intensity for oxydative stress markers (data not shown).

A dose response curve of the effect of stereoisomer D-iso-ascorbic acid was established using D-iso Ascorbic acid (I-0502 SIGMA). D-iso-ascorbic acid was used with the same protocol as L-ascorbic acid regarding stock solution, concentrations and mode of application. D-iso ascorbic acid has the same anti-oxydative properties but different other biological properties than ascorbic acid. Interestingly, the effect of D-iso-ascorbic acid a stereoisomer of ascorbic acid that has the same antioxydative properties but differs in the non-oxydative biological effects showed a much-decreased effectiveness. At optimum concentration of 100  $\mu$ M the number of dopaminergic neurons obtained in the D-iso ascorbic acid group was 48% lower than in the ascorbic acid group.

**D. In vitro test of dopaminergic neurons generated in the presence of ascorbic acid**

To test the biochemical function of precursor derived tyrosine hydroxylase expressing (TH+) neurons, the supernatant was tested for dopamine release using reverse phase HPLC with electrochemical detection. Dopamine levels were assessed in conditioned medium (24 hours of incubation), HBSS buffer (15 minutes), HBSS buffer + 56 mM KCl. Dopamine was subsequently extracted by aluminum absorption and measured by reverse phase HPLC with electrochemical detection.

Conditioned medium, buffer solution and buffer solution supplemented with 56 mM KCl all showed a significant increase in dopamine levels after ascorbic acid treatment in short term expanded precursors (5 – 50 fold; Po) and in long-term expanded precursors (50–500 fold; P1) (see figures 7 and 8)

**E. Combination treatment with cAMP and (DA)**

Combination treatment experiments were carried with mesencephalic precursors expanded with bFGF for 11 days and differentiated in DMEM/F12/N2 medium in the presence or absence of ascorbic acid (100  $\mu$ M), dopamine (1 nM – 1 mM) and cAMP (1 mM). The data revealed that dopamine has only a very minor additional effect on the yield of dopaminergic neurons as compared to ascorbic acid treatment alone (see Figure 6). CAMP and ascorbic acid have an additive effect on the yield of dopaminergic neurons from expanded precursors Combination treatment

of ascorbic acid and (DA) and of ascorbic acid and cAMP showed that DA contributes no significant additional effect to ascorbic acid treatment. The effects of ascorbic acid and cAMP appear additive.

5    **Example 4. Reggregation system for cellular differentiation**

Transplantation of cells that are differentiated on culture dishes entails mechanical or enzymatic dissociation with subsequent disruption of axodendritic trees and cell loss. Therefore we developed a reggregation system that allows conversion of previously expanded precursors into dopaminergic neurons in free-  
10    floating spheres. These reggregates can be directly loaded into a stereotactic needle and transplanted in toto.

**A. Cell Culture**

Cells were cultured as described in Example 1 and differentiated as free  
15    floating aggregates in a medium containing 10% fetal bovine serum (FBS) and maintained in a roller drum system. The cell suspension (200,000 cells/ml) was distributed in 15 ml Falcon tubes (1ml/tube) and placed in a roller drum (Bellco) and rotated at a speed of 1 – 4 revolutions per minute and a temperature of 37 °C in a dry incubator (no additional humidity) in an atmosphere containing 5% CO<sub>2</sub>.

20    Medium in all these experiments described in this section was Neurobasal/B27 as described above. We tested the effect of GDNF, BDNF, SHH in the presence and in the absence of 10% fetal bovine serum (always with Neurobasal/B27 medium as a “basal medium”)

After 7 days, the test tubes were removed from the roller drum and the  
25    reggregation of the cells was examined immunohistochemistry after sectioning the cells (see below). Differentiation in the roller drum typically resulted in the formation of one large (0.6–1.2 mm in diameter) sphere/tube. Reggregates were fixed in 4% paraformaldehyde/0.15 picric acid in PBS for 30 – 60 minutes at room temperature, equilibrated in 30% sucrose, cut into 20um thick sections on a freezing  
30    microtome and adhered to a gelatine precoated glass carrier according to standard histological guidelines.

The differentiation medium for reggregate cultures consisted of Neurobasal<sup>®</sup>/2% B27<sup>®</sup> (Gibco, Life Technologies) with or without fetal bovine

serum (FBS; 10%, Gibco), glial derived neurotrophic factor (GDNF; 10ng/ml; Peprotech), brain derived neurotrophic factor (BDNF; 10ng/ml; Peprotech), neurotrophin 4/5 (NT4/5; 10ng/ml; Peprotech), SHH (2.5µg/ml; kindly provided by Dr. Thomas Müller, at the Lab. of Molecular Biology, currently at the Max  
5 Delbrueck Univ. in Berlin; SHH is now commercially avail. from R&D).  
Supplementation of the differentiating medium (consisting of Neurobasal/B27) with 10% RBS led to a dramatic [?]

### B. Cell phenotypes

10 Using standard immunohistochemical procedures known to those of skill in the art, the following antibodies were used to examine the neuronal phenotypes present in differentiated aggregates: GABA polyclonal 1:2000 (SIGMA), serotonin polyclonal 1:8000 (SIGMA), ChAT polyclonal 1:500 (Chemicon), GFAP polyclonal 1:100 (Chemicon), GalC monoclonal 1:50 (Boehringer-Mannheim),

15 Neuronal phenotypes present in differentiated reaggregates were, in descending order of frequency, GABAergic (10–15%), serotonergic (3–5%) and cholinergic (< 0.1%) neurons. The percentage of glial cells in differentiated reaggregates was low. In serum treated cultures 2.8%  $\pm$  1.2%, N=9 of the total cell population was immunoreactive for glial fibrillary acid protein (GFAP), an  
20 astrocytic marker. The percentage of astrocytes in non-serum treated cultures was even lower (1.1%  $\pm$  0.9%, N=9). No mature galactocerebroside (GalC)-ir oligodendrocytes could be detected in differentiated reaggregates under any of the conditions tested.

Supplementation of the differentiating medium with 10% fetal bovine serum  
25 (FBS) led to a dramatic increase of TH-immunoreactive (TH-ir) neurons in differentiated reaggregates with 6178  $\pm$  547 TH-ir neurons/sphere as compared to 1341  $\pm$  341 in cultures grown without FBS ( $p < 0.01$ ). The average volume of serum-treated reaggregates was 0.77  $\pm$  0.11 mm<sup>3</sup> resulting in a mean density of 10,749  $\pm$  2386 TH-ir cells/mm<sup>3</sup>. The percentage of TH-ir cells was 14.1  $\pm$  4.2  
30 % in serum-treated reaggregates and 2.9  $\pm$  1.3% in the control group. (N=21 for the group treated with FBS; 11 for the control group).

Treatment with GDNF (10ng/ml), BDNF (10ng/ml), NT4/5 (10 ng/ml), or SHH (2.5 µg/ml) did not cause a significant increase in the total number of TH-ir cells/sphere in serum-supplemented medium (data not shown). However, under

serum-free conditions, GDNF did significantly improve TH-ir cell yield as compared to control cultures (GDNF 3451 +/- 621, N=8; control group 1341 +/- 341, N=11;  $p < 0.05$ ). Because no growth factor could substantially exceed the effect of FBS, cultures produced for transplantation purposes were raised in 10% FBS without any additional growth factors.

### **Example 5. Transplantation of Tissue Culture Aggregates**

#### **A. Transplantation**

Adult female Sprague Dawley rats (200–250 g) were lesioned by unilateral injection of 6-hydroxydopamine bromide at 2 sites along the MFB<sup>44</sup>. 6–7 reaggregates (corresponding to a total number of  $3-4 \times 10^5$  cells) were loaded into a blunt 18 G spinal needle (Sherwood Medical) and deposited at the ipsilateral striatum of 6OHDA lesioned rats (AP +1.0 mm, ML -2.5 mm, and V -4.7 mm (coordinates relative to bregma), toothbar set at -2.5).

#### **A. Behavior**

Graft function was assessed as changes in amphetamine-induced rotation behavior. Automated assessment (Rota Count-8, Columbus Instruments) of amphetamine-induced rotational behavior (i.p injection of 5 mg d-amphetamine sulfate (SIGMA)/kg body weight) was carried out twice before transplantation (days -21 and -14) and three times after transplantation (days 30, 55 and 80). Only animals with stable pre-transplantational scores of  $> 7$  rotations per minute (average  $11 \pm 2$ ) were included in this study.

Gradual behavioral recovery was observed in transplanted animals (Figure 4). Eighty days post transplantation a substantial improvement in rotation scores could be detected in 5 out of 7 animals. The average reduction in rotation scores for these 5 animals was 75% as compared to pre-transplantation scores; range 47 to 97%. The remaining 2 animals showed only mild improvement (13% and 22% reduction). Control animals showed no behavioral improvement.

The survival rate of grafted dopaminergic neurons derived from expanded precursors was 3–5% demonstrating that long term survival and functional integration into the adult CNS can be achieved with expanded and pre-differentiated precursors.

The major pathological feature of Parkinson's disease is the loss of dopaminergic function in the substantia nigra. This pathology can be mimicked in non-human models of the disease by creating pharmacological or surgical lesions of the nigrostriatal dopaminergic pathway. The deficits in motor function that result from such lesions can be largely reversed when cell preparations made according to the invention are transplanted into the striatum of the lesioned animals. The degree of behavioral recovery in animals receiving transplants appears to be related to the number of dopaminergic neurons present in the grafted tissue. The improvement in animal behavior is most likely due to local dopamine release by the grafted cells.

#### B. Immunohistochemistry

Total graft volume was estimated using the Cavalieri's estimator as described by Gundersen et al. (1988) *APIMS* 96, 379–394. TH-ir cells were counted within the outlined graft area as used for volume estimation. Uniform randomly chosen sections of individual reaggregates were analyzed for the total number of TH-ir cells by means of a stereological grid (fractionator). Conventional and confocal images were obtained with Axiophot and Axiovert microscopes respectively (Zeiss). Confocal image stacks were acquired by single and dual wavelength excitation at 488 and 568 nm. Identically treated but non-BrdU incubated control cultures were used as a negative control for BrdU/TH double immunohistochemistry.

Posttransplantational rotation scores were compared by the non-parametric Mann-Whitney U Test. The effect of serum and growth factors was analyzed using ANOVA and Dunnett posthoc comparisons. Data are given as mean  $\pm$  SEM.

Immunohistochemical analysis of the substantia nigra, ventral tegmental area and the striatum confirmed that all animals included in this study had a complete lesion. All animals had viable grafts 80 – 101 days after transplantation. The number of surviving TH-ir cells per graft was  $1221 \pm 431$  and the average graft volume was  $0.92 \pm 0.12 \text{ mm}^3$  resulting in a TH-ir cell density of  $1369 \pm 389 \text{ cells/mm}^3$ . Graft size and TH-ir cell density in this study were similar to those found when transplanting primary fetal mesencephalic tissue (Spenger et al., (1996) *Exp. Brain Res.* 112, 47–57). A graft with only 478 surviving TH-ir cells and a more than 3 fold lower than average cell density was found in one of the two animals without significant behavioral recovery. The other animal with only mild behavioral

improvement had an average number of surviving TH-ir cells but the graft was located ectopically. Cells in all of the grafts displayed morphological features of mature dopaminergic neurons and a strong immunoreactivity for TH (Figure 4). These results show that grafted dopaminergic neurons derived from expanded precursors are functional in vivo and can alleviate behavioral deficits in an animal model for Parkinson's disease.

While the invention has been described in the above specification, examples and data, it is to be understood that the invention is not limited to the disclosed embodiments, but is intended to cover various modifications and equivalent arrangements included within the spirit and scope of the appended claims. All references cited herein are hereby incorporated by reference in their entirety.

**WHAT IS CLAIMED IS:**

1. A method of culturing cells, comprising:
  - a. proliferating precursor cells, said step of proliferating comprising:
    - i. incubating said precursor cells in proliferating medium which includes basic fibroblast growth factor (bFGF); and
  - b. differentiating said precursor cells, said step of differentiating comprising:
    - i. incubating said precursor cells in an incubation vessel which contains differentiation medium in a manner effective to form a reaggregation of differentiated cells that is not adhered to any surface of the incubation vessel.
2. The method of claim 1, wherein said step of differentiating comprises incubating the precursor cells in a roller tube.
3. The method of claim 1, wherein said step of differentiating further comprises incubating said precursor cells in the presence of at least one differentiating agent.
4. The method of claim 3, wherein said differentiating agent is selected from the group consisting of cyclic adenosine 3',5'-phosphate (cAMP), cAMP modulator, dopamine, dopamine simulator and ascorbic acid.
5. The method of claim 4, wherein the cAMP modulating agent is selected from the group consisting of forskolin.
6. The method of claim 4, wherein the dopamine simulator is L-Dopa.
7. A method of culturing cells, comprising incubating said cells in proliferating medium which includes basic fibroblast growth factor (bFGF).
8. A method of culturing differentiating cells, comprising incubating precursor cells in an incubation vessel which contains differentiation medium in a

manner effective to form a reaggregation of differentiated cells that is not adhered to any surface of the incubation vessel.

9. The method of claim 8, wherein the precursor cells are incubated in a roller drum.
10. The method of claim 8, wherein said step of differentiating further comprises incubating said precursor cells in the presence of at least one differentiating agent.
11. The method of claim 10, wherein the differentiating agent is selected from the group consisting of cyclic adenosine 3',5'-phosphate (cAMP), cAMP modulating agent, dopamine, dopamine simulator and ascorbic acid.
12. The method of claim 11, wherein the cAMP modulating agent is selected from the group consisting of forskolin.
13. The method of claim 11, wherein the dopamine simulator includes L-Dopa.
14. A method of culturing differentiated neuronal cells, comprising:
  - a. proliferating neuronal precursor cells, said step of proliferating comprising:
    - i. incubating said neuronal precursor cells in proliferating medium which includes basic fibroblast growth factor (bFGF); and
  - b. differentiating said neuronal precursor cells, said step of differentiating comprising:
    - i. incubating said precursor cells in an incubation vessel which contains differentiation medium in a manner effective to form a reaggregation of differentiated cells that is not adhered to any surface of the incubation vessel
15. The method of claim 14, wherein said differentiated neuronal cells are dopaminergic neuron cells.

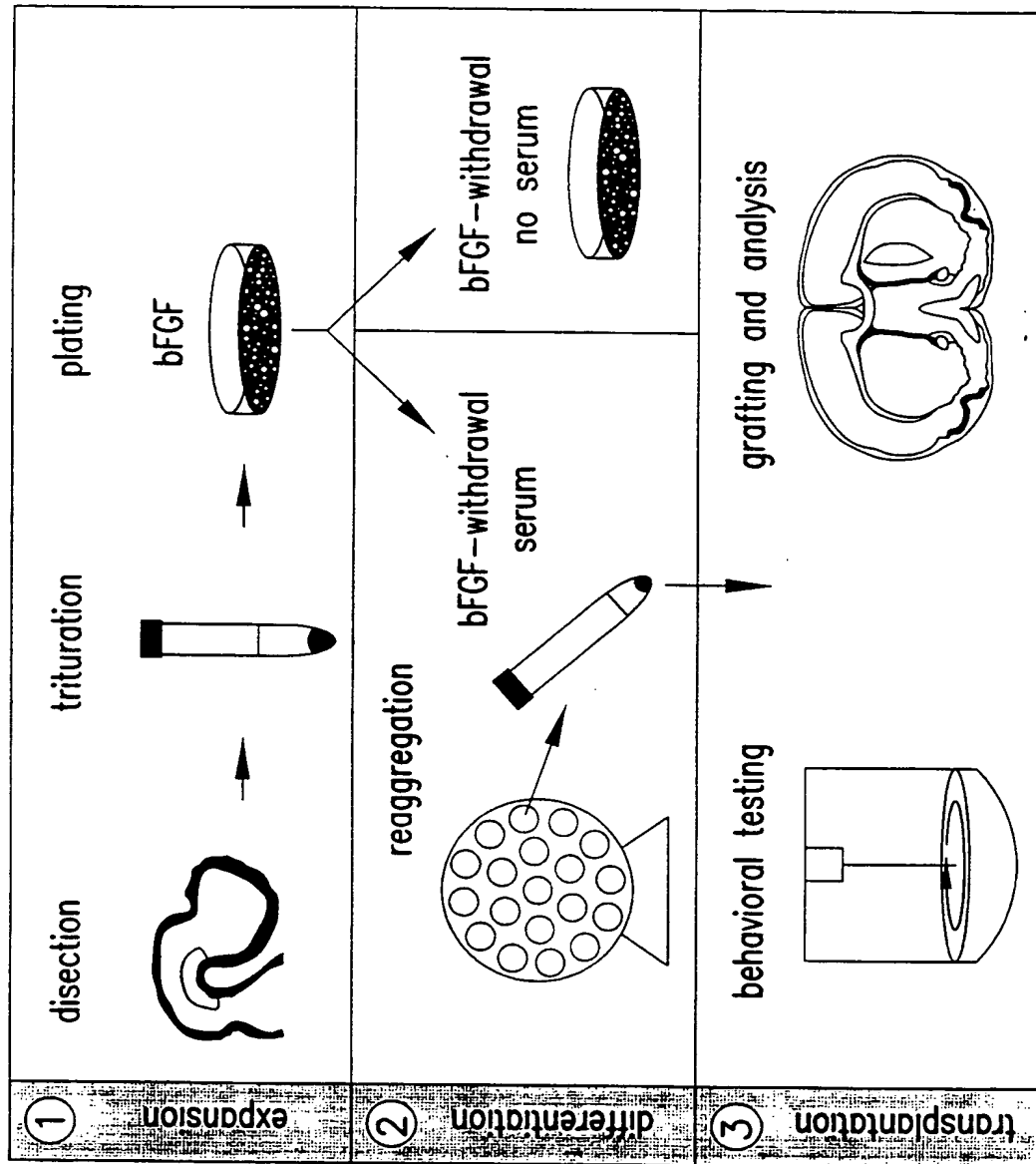


16. The method of claim 15, wherein said precursor cells are mesencephalic cells.
17. The method of claim 14, wherein said differentiated neuronal cells are cholinergic neuronal cells.
18. The method of claim 17, wherein said precursor cells are basal forebrain cells or spinal cord cells.
19. The method of claim 14, wherein said differentiated neuronal cells are serotonergic cells.
20. The method of claim 19, wherein said precursor cells are nucleus raphe cells.
21. A method of treating a patient with neurological disorder, comprising the steps of:
  - A. culturing differentiated neuronal cells, said step of culturing comprising:
    - i. proliferating neuronal precursor cells, said step of proliferating comprising:
      - a. incubating said neuronal precursor cells in proliferating medium which includes basic fibroblast growth factor (bFGF); and
    - ii. differentiating said neuronal precursor cells, said step of differentiating comprising:
      - aa. incubating said precursor cells in an incubation vessel which contains differentiation medium in a manner effective to form a reaggregation of differentiated cells that is not adhered to any surface of the incubation vessel; and
  - B. administering said differentiated neuronal cells to a patient in need thereof.

22. The method of claim 21, wherein the neurological disorder is Parkinson's disease.
23. A method of introducing a gene product into a brain of a patient, comprising:
- A. transforming neuronal precursor cells;
  - B. culturing said transformed neuronal cells, said step of culturing comprising:
    - i. proliferating transformed neuronal precursor cells, said step of proliferating comprising:
      - a. incubating transformed neuronal precursor cells in proliferating medium which includes basic fibroblast growth factor (bFGF); and
    - ii. differentiating transformed neuronal precursor cells, said step of differentiating comprising:
      - aa. incubating said precursor cells in an incubation vessel which contains differentiation medium in a manner effective to form a reaggregation of differentiated cells that is not adhered to any surface of the incubation vessel; and
  - C. administering said differentiated transformed neuronal cells into a patient in need thereof.
24. The method of claim 23, wherein said transformed cell produces a gene product selected from the group consisting of tyrosine hydroxylase, nerve growth factor (NGF), brain derived neurotrophic factor (BDGF), basic fibroblast growth factor (bFGF) and glial derived growth factor (GDGF).
25. An assay for a substance, comprising:
- A. culturing differentiated neuronal cells, said step of culturing comprising:
    - i. proliferating neuronal precursor cells, said step of proliferating comprising:

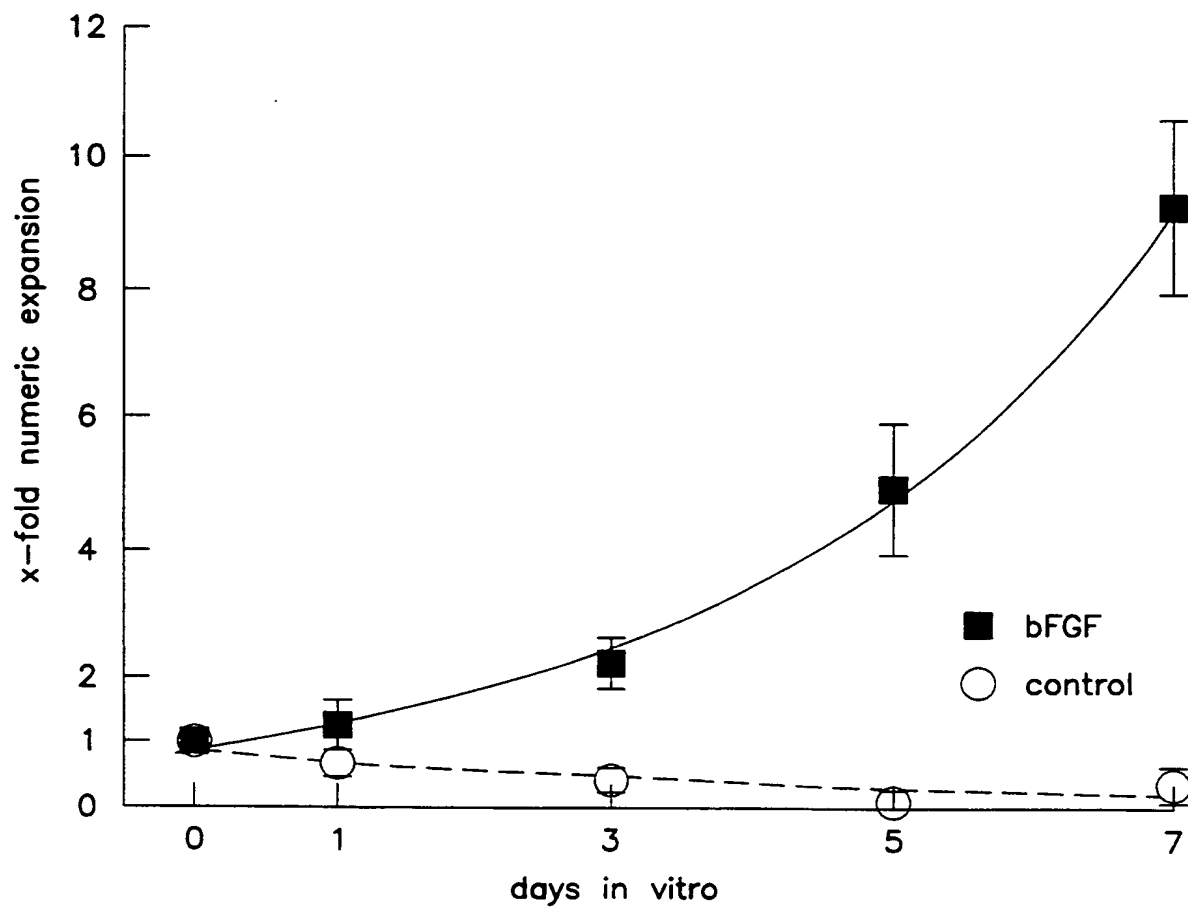
- a. incubating said neuronal precursor cells in proliferating medium which includes basic fibroblast growth factor (bFGF); and
  - ii. differentiating said neuronal precursor cells, said step of differentiating comprising:
    - aa. incubating said precursor cells in an incubation vessel which contains differentiation medium in a manner effective to form a reaggregation of differentiated cells that is not adhered to any surface of the incubation vessel;
  - B. exposing said differentiated neuronal cells to the substance; and
  - C. observing the effect of the substance on the differentiated neuronal cells.
- 26. A cell culture comprising about 80% to about 95% differentiated neuronal cells and less than 5% glial cells.
- 27. The cell culture of claim 26 wherein the differentiated neuronal cells are dopaminergic cells that are functional *in vivo*.

FIG. 1



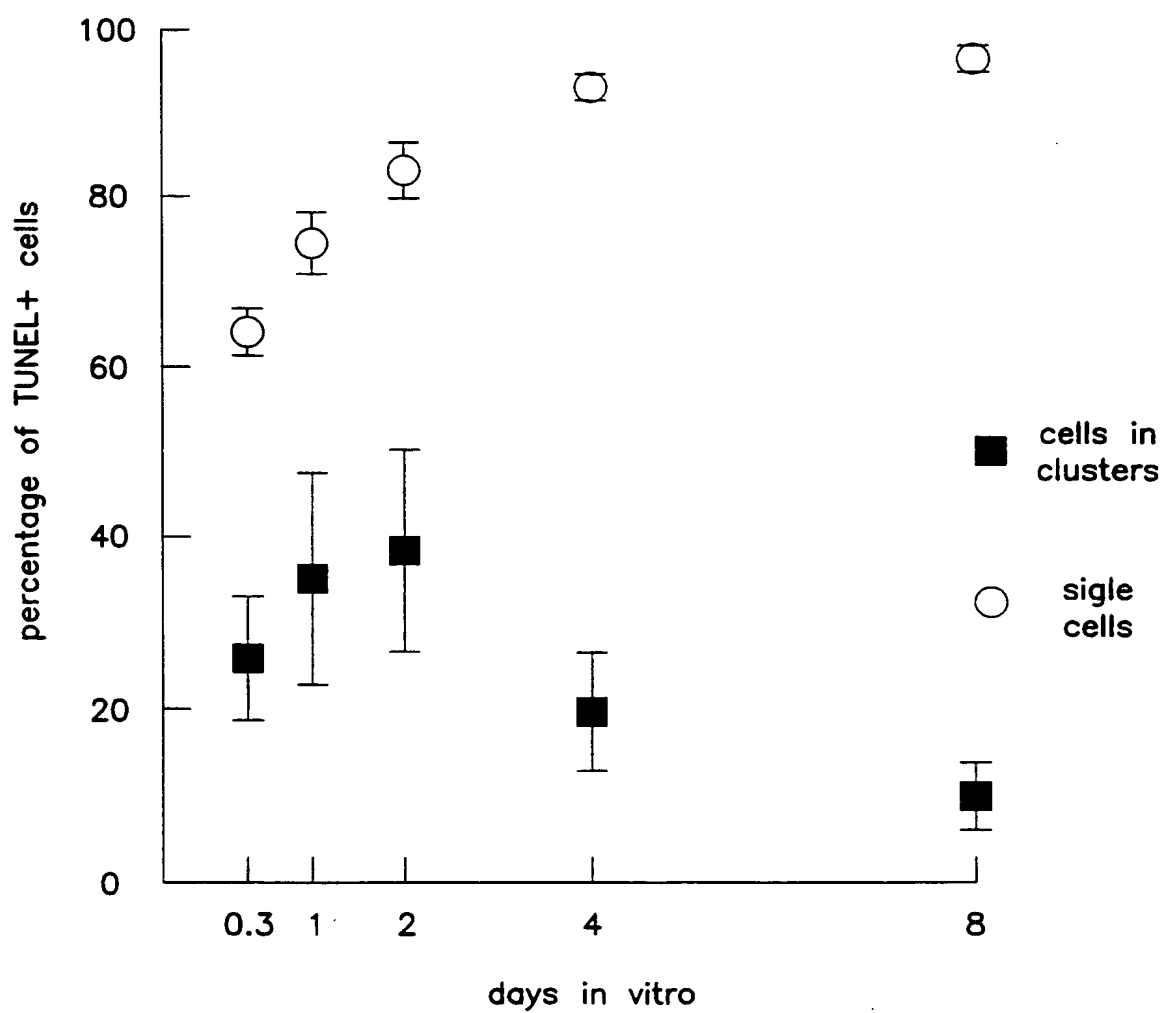
2/8

FIG. 2



3/8

FIG. 3



4/8

FIG. 4

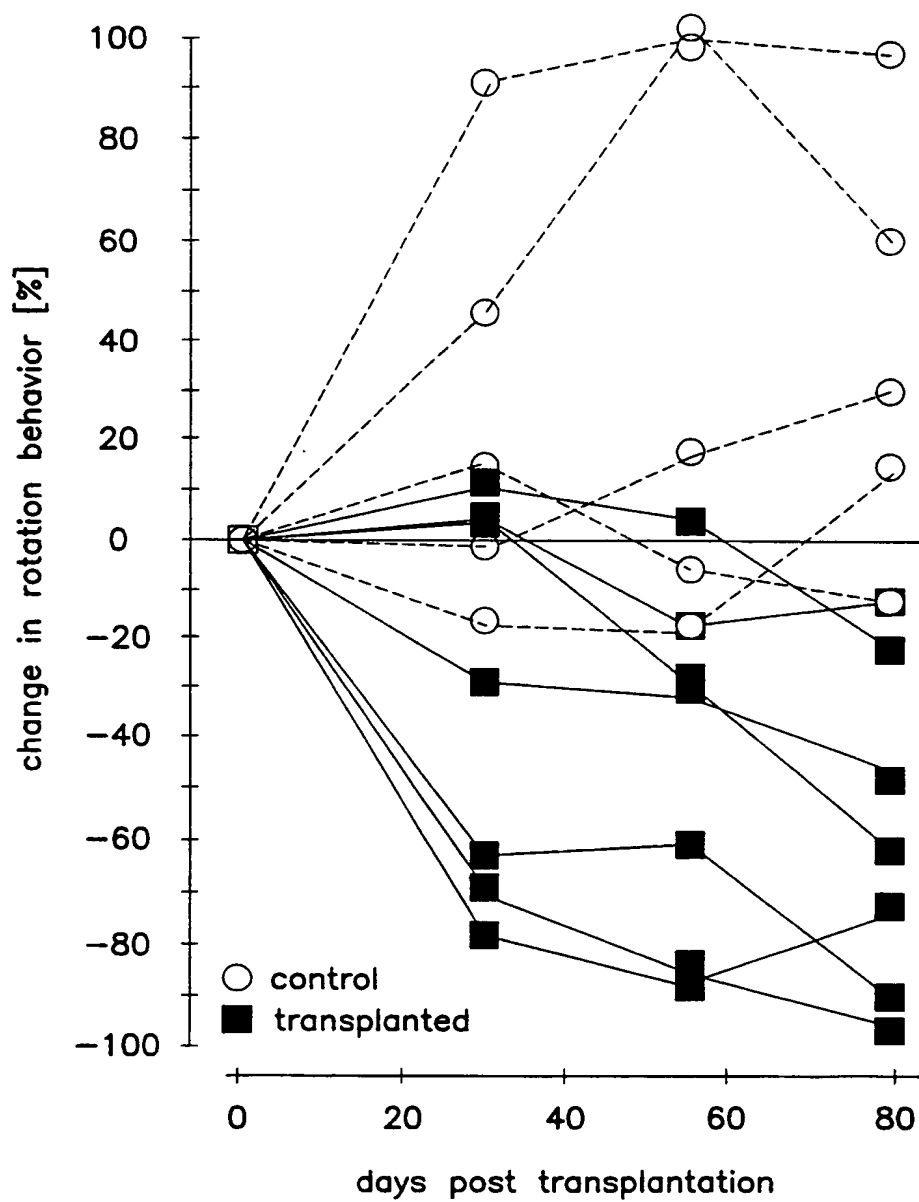
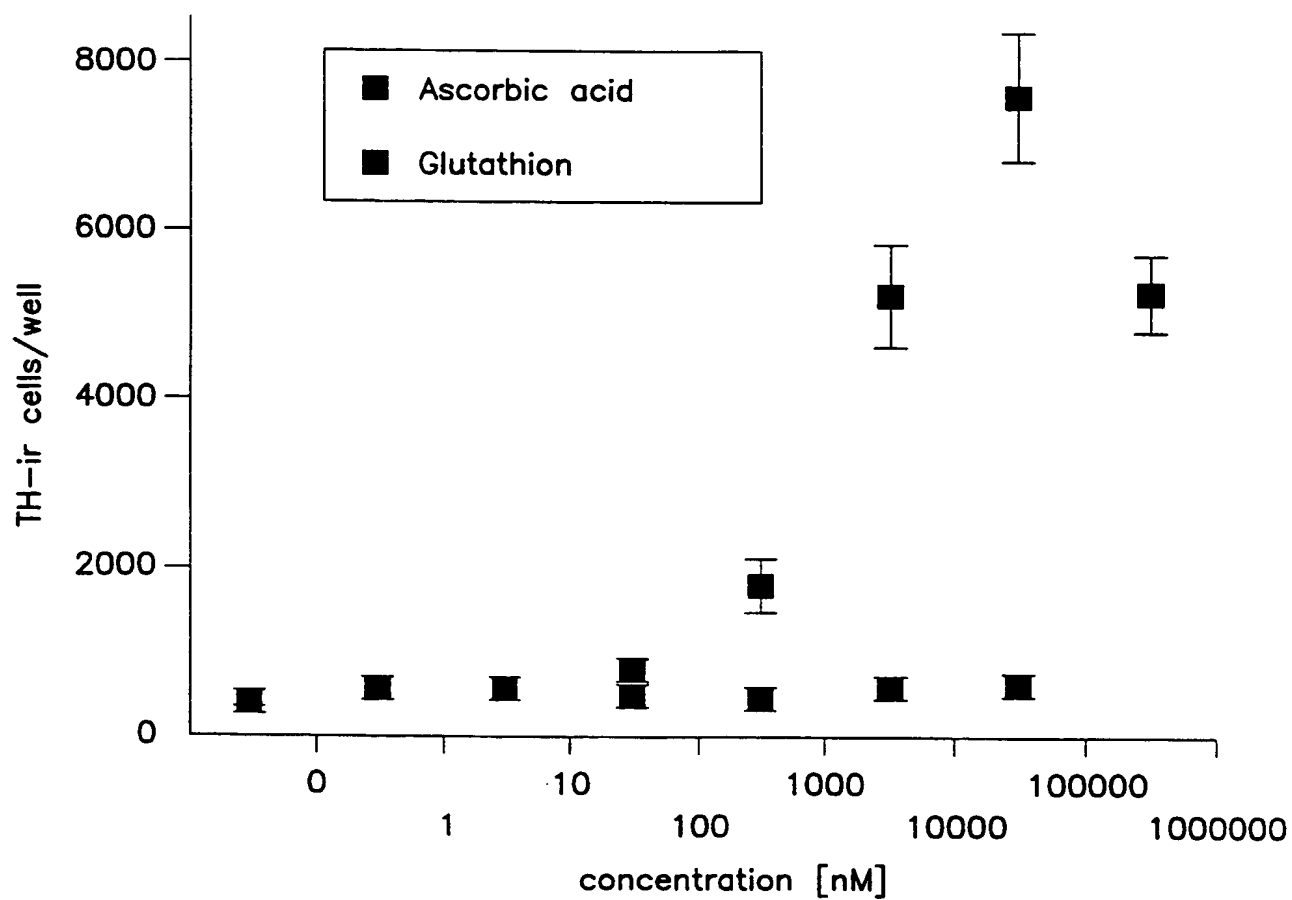


FIG. 5





6/8

FIG. 6

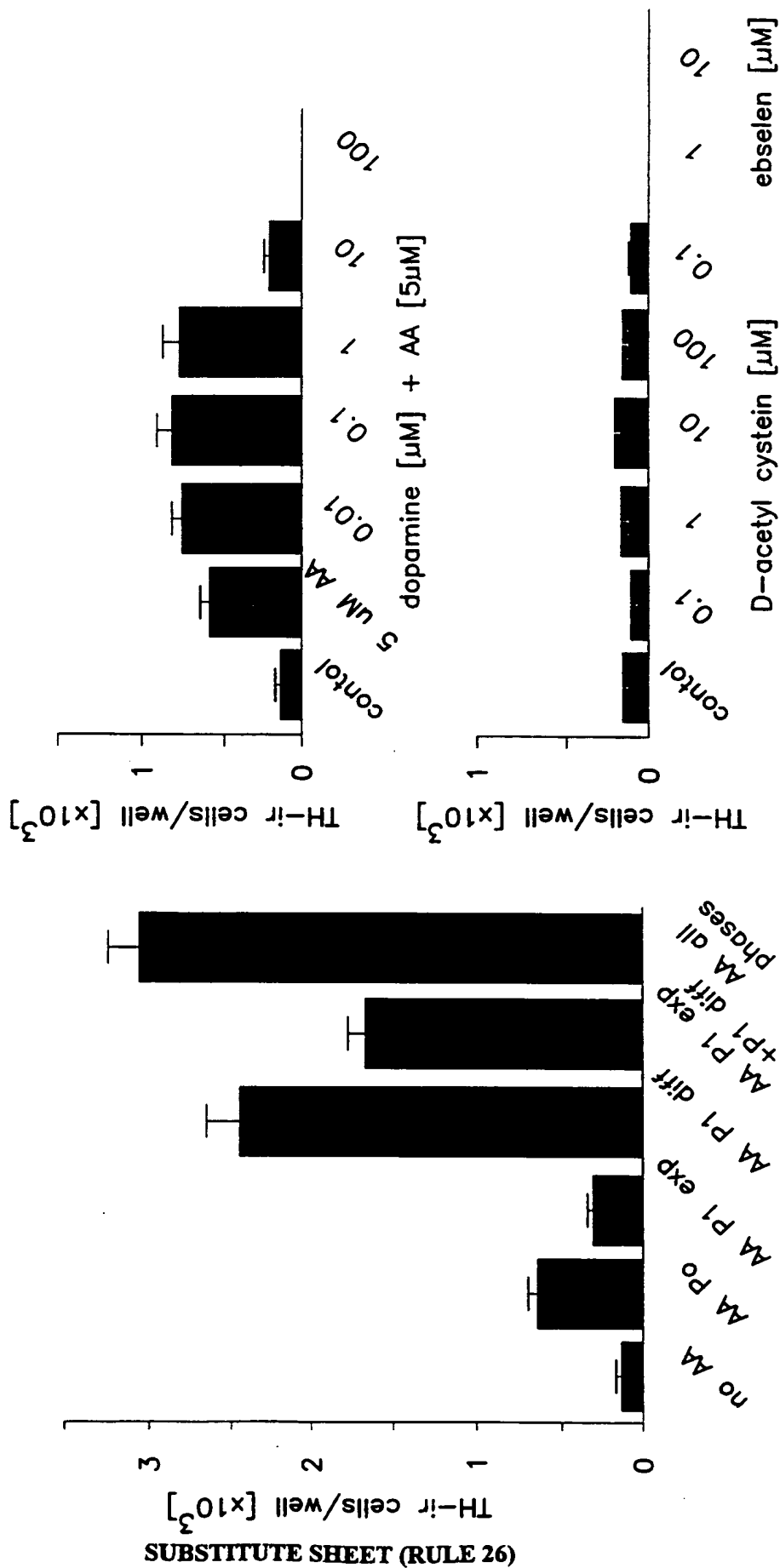
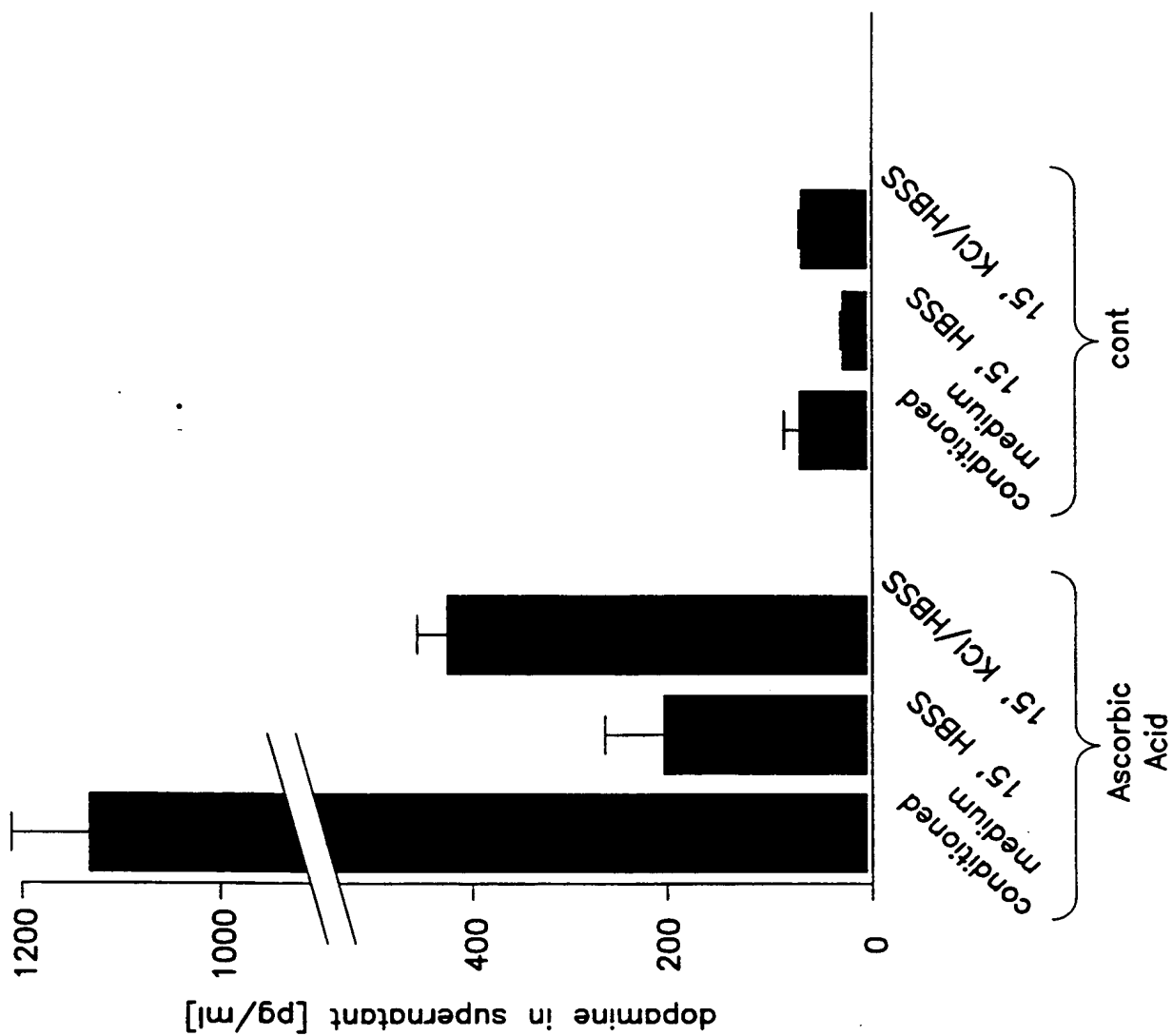


FIG. 7 Dopamine levels in bFGF expanded passage 0 E12 mesencephalic precursors



Dopamine levels in bFGF expanded  
passage 1 E12 mesencephalic precursors

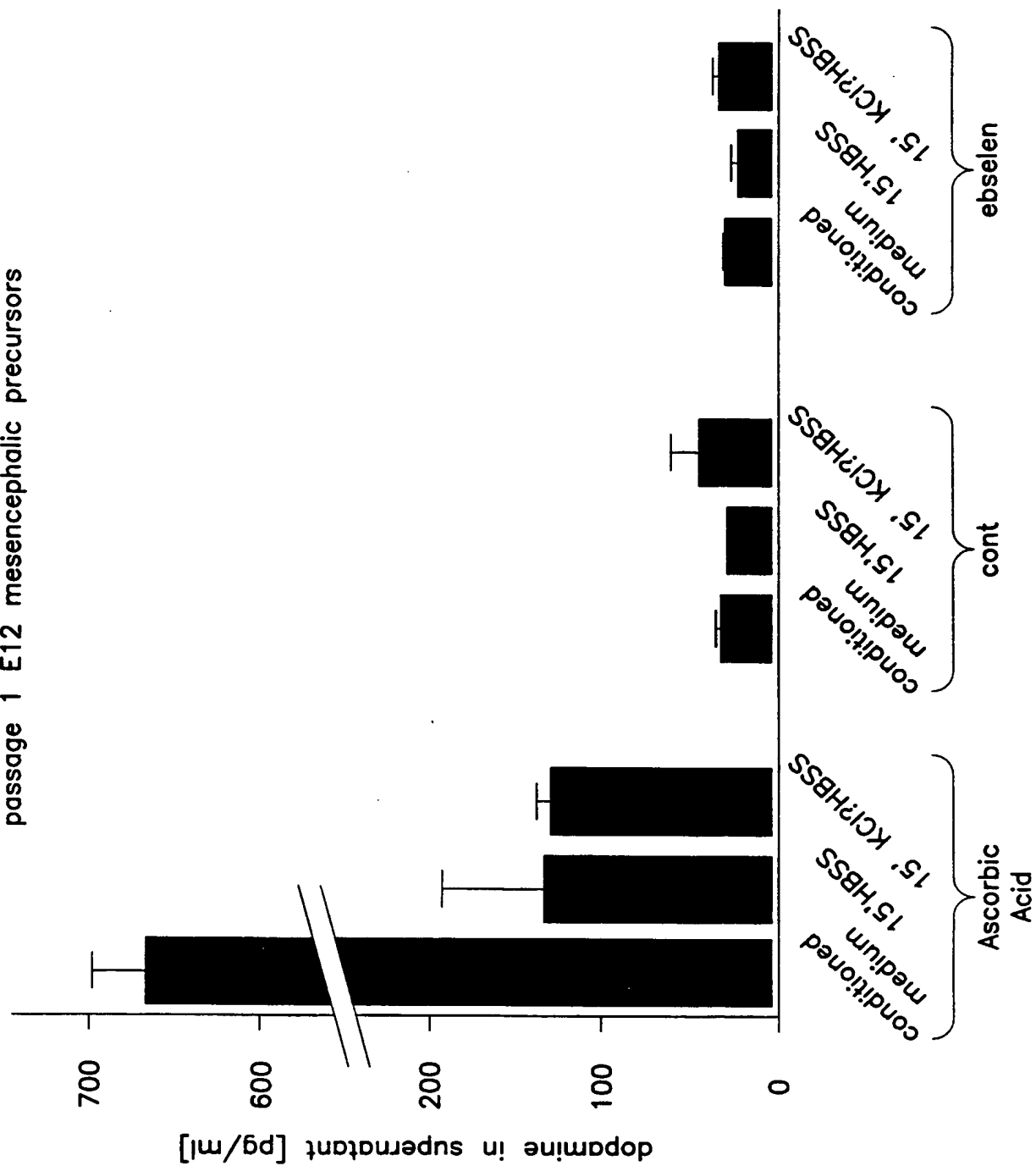


FIG. 8

(19) World Intellectual Property Organization  
International Bureau



(43) International Publication Date  
8 November 2001 (08.11.2001)

PCT

(10) International Publication Number  
**WO 01/83715 A2**

(51) International Patent Classification<sup>7</sup>: C12N 5/06, 5/08,  
A61K 35/30, C12Q 1/02, A61P 25/00, C12N 5/10

(21) International Application Number: PCT/US01/14051

(22) International Filing Date: 1 May 2001 (01.05.2001)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:  
60/201,005 1 May 2000 (01.05.2000) US

(63) Related by continuation (CON) or continuation-in-part  
(CIP) to earlier application:  
US 60/201,005 (CON)  
Filed on 1 May 2001 (01.05.2001)

(71) Applicant (for all designated States except US): THE  
GOVERNMENT OF THE UNITED STATES OF

AMERICA as represented by the Secretary, [US/US];  
Department of Health and Human Services, Suite 325,  
6011 Executive Boulevard, Rockville, MD 20852 (US).

(71) Applicants and

(72) Inventors: LEE, Sang-Hun [KR/KR]; Department of  
Biochemistry, College of Medicine, Hanyang University,  
#17 Haengdang-dong, Sundong-Ku, Seoul 133-791 (KR).  
LUMELSKY, Nadya [US/US]; 1731 P Street NW, Wash-  
ington, DC 20036 (US). STUDER, Lorenz [CH/US];  
1365 York Avenue, #35D, New York, NY 10021 (US).  
MCKAY, Ron, D., G. [US/US]; 4401 Highland Avenue,  
Bethesda, MD 20814 (US).

(74) Agent: DAIGNAULT, Ronald, A.; Merchant & Gould  
P.C., P.O. Box 2903, Minneapolis, MN 55402-0903 (US).

(81) Designated States (national): AE, AG, AL, AM, AT, AU,  
AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CO, CR, CU,  
CZ, DE, DK, DM, DZ, EE, ES, FI, GB, GD, GE, GH, GM,  
HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK,

[Continued on next page]

(54) Title: DERIVATION OF MIDBRAIN DOPAMINERGIC NEURONS FROM EMBRYONIC STEM CELLS

### **Generation of DA neuronal populations from undifferentiated ES cells**

**Expand undifferentiated ES cells population on gelatin-coated  
tissue culture surface in ES cell medium in the presence of LIF**  
(Stage 1)



**Generate EBs in suspension cultures for 4 days in ES cell medium**  
(Stage 2)



**Select nestin-positive cells for 8 days in ITSFn medium from EBs  
plated on tissue culture surface** (Stage 3)



**Expand nestin-positive cells for 7 days in N2 medium containing  
bFGF/laminin** (Stage 4)



**Induce differentiation of the expanded neuronal precursor cells  
by withdrawing bFGF from N2 medium containing laminin** (Stage 5)

(57) Abstract: The invention provides a method of culturing cells. The method generally includes five stages: (1) expansion of ES cells; (2) generation of embryoid bodies; (3) selection of CNS precursor cells; (4) expansion of CNS precursor cells; and (5) differentiation of CNS precursor cells. During the expansion phase, the CNS precursor cells are cultured in a media which includes at least one neurologic agent such as bFGF, SHH, and FGF8. The expanded CNS precursors are differentiated by withdrawal of at least one neurologic agent, typically, bFGF. Preferably, the differentiation media includes ascorbic acid. The method of the invention can be used to culture a variety of cells, preferably neuronal cells, including, but not limited to dopaminergic neuron cells, cholinergic neuronal cells and serotonergic neuron cells. The invention also provides a method for treating a neurological disorder, such as Parkinson's disease, a method of introducing a gene product into a brain of a patient, and an assay for neurologically active substances. The invention further provides a cell culture which includes differentiated neuron cells, of which at least about 20 % of the differentiated neurons are dopaminergic neurons.

WO 01/83715 A2



LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX,  
MZ, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL,  
TJ, TM, TR, TT, TZ, UA, UG, US, UZ, VN, YU, ZA, ZW.

**Published:**

— without international search report and to be republished  
upon receipt of that report

- (84) **Designated States (regional):** ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE, TR), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).

*For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.*

**DERIVATION OF MIDBRAIN DOPAMINERGIC NEURONS FROM  
EMBRYONIC STEM CELLS**

This application is being filed as a PCT International Patent application in  
5 the name of Sang-Hun Lee, Nadya Lumelsky, Lorenz Studer, and Ron McKay,  
applicants for all countries, on 01 May 2001.

**Background of the Invention**

Parkinson's disease is a neurodegenerative disorder where midbrain  
10 dopaminergic neurons are specifically destroyed. It is characterized by gradual,  
progressive muscle rigidity, tremors and clumsiness and affects an estimated one  
million patients in the United States. Although Parkinson's disease may be ascribed  
to the use of some medications, such as phenothiazine tranquilizers; brain injury;  
tumors; post-influenza encephalitis; slow-virus infection; carbon-monoxide  
15 poisoning; or agricultural chemicals, the cause of Parkinson's disease is generally  
unknown.

Parkinson's disease is currently considered incurable. However, prescription  
medications for symptomatic relief of Parkinson's disease are available and include  
anticholinergics; antihistamines; antitremor drugs, such as amantadine; or  
20 antiparkinson medications, including bromocriptine, levodopa and carbidopa.  
Although these drugs may decrease tremors and reduce muscle rigidity, they often  
have significant side effects. Additionally, these drugs only relieve the symptoms  
and do not cure the disease.

Thus, several strategies are being pursued to develop new therapies for  
25 Parkinsonian patients. These techniques range from the use of dopaminotrophic  
factors (Takayama et al. (1995) "Basic fibroblast growth factor increases  
dopaminergic graft survival and function in a rat model of Parkinson's disease,"  
*Nature Med.* 1:53-58) and viral vectors (Choi-Lundberg et al., (1997)  
"Dopaminergic neurons protected from degeneration by GDNF gene therapy,"  
30 *Science* 275:838-841) to the transplantation of primary xenogenic tissue (Deacon et  
al, (1997) "Histological evidence of fetal pig neural cell survival after transplantation  
into a patient with Parkinson's disease," *Nature Med.* 3:350-353).

Transplantation of dopaminergic neurons is a clinically promising  
experimental treatment in late stage Parkinson's disease. More than 200 patients  
35 have been transplanted worldwide (Olanow et al., (1996) "Fetal nigral  
transplantation as a therapy for Parkinson's disease," *Trends Neurosci.* 19:102-109).  
Clinical improvement has been confirmed (Olanow et al, *supra* and Wenning et al.,  
(1997) "Short- and long-term survival and function of unilateral intrastriatal  
dopaminergic grafts in Parkinson's disease," *Ann. Neurol.* 42:95-107) and was

correlated to good graft survival and innervation of the host striatum (Kordower et al., (1995) "Neuropathological evidence of graft survival and striatal reinnervation after the transplantation of fetal mesencephalic tissue in a patient with Parkinson's disease," *N.Engl.J.Med.* 332:1118-1124). However, fetal nigral transplantation  
5 therapy generally requires human fetal tissue from at least 3-5 embryos to obtain a clinically reliable improvement in the patient. This poses an enormous logistical and ethical dilemma.

To address this logistical and ethical dilemma, alternative sources for dopaminergic neurons are being investigated. For example, dopaminergic neurons  
10 have been generated from CNS precursor cells (PCT Application "Cell Expansion System for use in Neural Transplantation" Serial No. PCT/US99/16825; and Studer et al., (1998) "Transplantation of expanded mesencephalic precursors leads to recovery in Parkinsonian rats," *Nature Neurosci.* 1:290-295.). These precursor-derived neurons are functional in vitro and in vivo and restore behavioral deficits in  
15 a rat model of Parkinson's disease.

Even though the primary mesencephalic CNS stem cell culture can provide differentiated dopaminergic neurons suitable for use in cell therapy for Parkinson's disorder, the cell number provided by this method is limited. The percentage of differentiated dopaminergic neurons obtained from expanded mesencephalic  
20 precursors decreases as the cells are expanded more than about 10-100 fold. While mesencephalic precursors can generate about 10% to 15% dopaminergic neurons (out of total cell number) after 10-100 fold expansion, when the precursors are expanded 1000 fold, that number drops to only about 1%.

In contrast to mesencephalic precursor cells, ES cells can proliferate  
25 indefinitely in an undifferentiated state. Furthermore, embryonic stem (ES) cells are totipotent cells, meaning that they can generate all of the cells present in the body (bone, muscle, brain cells, etc.).

ES cells have been isolated from the inner cell mass of the developing murine blastocyst (Evans et al., (1981), "Establishment in culture of pluripotential cells from mouse embryos," *Nature* 292:154-156; Martin et al., (1981) "Isolation of a pluripotent cell line from early mouse embryos cultured in medium conditioned by teracarcinoma stem cells," *Proc.Natl.Acad.Sci.* 78:7634-7636; Robertson et al., (1986) "Germ line transmission of a gene introduced into cultured pluripotential cells by a retroviral vector," *Nature* 323:445-448; Doetschman et al., (1987)  
35 "Targeted correction of a mutant HPRT gene in mouse embryonic stem cells," *Nature* 330:576-578; and "Thomas et al., (1987) "Site directed mutagenesis by gene targeting in mouse embryo-derived stem cells," *Cell* 51:503-512). Additionally, human cells with ES properties have recently been isolated from the inner blastocyst

cell mass (Thomson et al., (1998) "Embryonic stem cell lines derived from human blastocysts," *Science* 282:1145-1147) and developing germ cells (Shamblott et al., (1998) "Derivation of pluripotent stem cells from cultured human primordial germ cells," *Proc.Natl.Acad.Sci.U.S.A.* 95:13726-13731).

5 ES cells have been shown to differentiate into neurons and glial cells in vitro (Bain et al., (1995) "Embryonic stem cells express neuronal properties in vitro," *Dev.Biol.* 168:342-357; and Okabe et al., (1996) "Development of neuronal precursor cells and functional postmitotic neurons from embryonic stem cells in vitro," *Mech. Dev.* 59:89-102) and in vivo (Brustle et al., (1999) "Embryonic stem  
10 cell-derived glial precursors: A source of myelinating transplants," *Science* 285:754-756; Deacon et al., (1998) "Blastula-stage stem cells can differentiate into dopaminergic and serotonergic neurons after transplantation," *Exp.Neurol.* 149:28-41; and Brustle et al., (1997) "In vitro generated neural precursors participate in mammalian brain development," *Proc.Natl.Acad.Sci.* 94:14809-14814). These  
15 studies indicate that ES cells differentiate into CNS stem cells that subsequently give rise to neurons and glia. Recent work (Brustle et al., (1999) "Embryonic stem cell-derived glial precursors: A source of myelinating transplants," *Science* 285:754-756) demonstrates the efficient derivation of a specific glial fate, oligoendrocytes, after selective expansion of ES derived CNS progeny.

20 Although neurons expressing glutamate, GABA, and glycine derived from ES cells have been reported, no protocol is currently available for the generation of catecholamine neurons, such as dopaminergic neurons. Generation of dopaminergic neurons is of particular interest in view of the therapeutic promise of cell therapy in Parkinson's disease.

25

### **Summary of the Invention**

A first aspect of the invention provides a method of generating midbrain neurons from embryonic stem (ES) cells. The method generally includes five stages: (1) expansion of ES cells; (2) generation of embryoid bodies; (3) culturing  
30 embryoid bodies to select for CNS precursor cells; (4) expansion of CNS precursor cells; and (5) differentiation of CNS precursor cells.

In the first stage, expansion of ES cells, the number of ES cells is increased. Generally, this stage includes a step of incubating ES cells in ES growth medium in the presence of LIF (Leukemia Inhibitory Factor) on gelatin-coated tissue culture  
35 plate. Preferably, the media is supplemented with fetal calf serum (FCS), non-essential amino acids, 2-mercaptoethanol, L-glutamine, and antibiotics.

In the second stage, embryoid bodies are generated. Generally, this stage includes culturing the expanded ES cells in ES growth medium in the presence of



LIF, but in suspension on a culture plate. More preferably, the embryoid bodies are cultured from a population that contains a majority of (e.g., greater than 50%, more preferably greater than 75%) individual ES cells, rather than clusters of ES cells (e.g. aggregations of 2 or more ES cells, typically about 10 or more ES cells).

5 In the third stage, the embryoid bodies are cultured under conditions to select for CNS precursor cells. Generally, this selection stage includes a step of incubating the embryoid bodies in a medium which selects for CNS precursor cells. Preferably, the medium is a serum free medium supplemented with nutrients such as insulin, selenium chloride, transferrin and fibronectin.

10 In the fourth stage, the CNS precursor cells are expanded by incubating the cells in CNS proliferation media. A variety of culture media are known and are suitable for use in the invention. Generally, proliferation media includes a minimal essential media such as DMEM and/or F12, preferably supplemented with sodium bicarbonate. Preferably the media does not include 4-(2-hydroxyethyl)-1-piperazine-ethanesulfonic acid (HEPES). A preferred culture media includes N2 supplement. Preferably, the culture media also includes neurologic agents to encourage proliferation of CNS precursor cells. Examples of suitable neurologic agents include basic fibroblast growth factor (bFGF) and epidermal growth factor (EGF). The culture media may also be supplemented with other neurologic agents to increase the efficiency of the generation of midbrain dopaminergic neurons, for example, factors that control dopaminergic and serotonergic cell fates during embryogenesis in vivo. Preferably, the media includes sonic hedgehog (SHH) protein (or functional fragments thereof), fibroblast growth factor-8 (FGF8) (or functional fragments thereof), or combinations thereof. Additionally, the cells are preferably plated on a surface that permits adhesion of CNS stem cells, such as a fibronectin-, laminin- or vitronectin-coated surface.

25 In the fifth stage, the expanded CNS precursor cells are differentiated to form neuronal cells. The differentiation is induced by withdrawal of at least one neurologic agent, preferably by the withdrawal of bFGF and/or EGF. Generally, the differentiation media is similar to the proliferation media used in stage four (but without bFGF or EGF). Additionally, the differentiation media may also include factors to enhance differentiation into midbrain neurons, for example, ascorbic acid (AA).

30 In one embodiment, the ES cells are transfected with a gene encoding *Nurr1*. The *Nurr1*-transfected cells are then differentiated using the method of the invention. Generally, *Nurr1* transfected cells differentiated according to the method of the invention generate 2 to 10 fold, more typically 4 to 5 fold more dopaminergic cells, when compared to the number of dopaminergic cells generated by

differentiating wild-type ES cells using the method of the invention. Additionally, *Nurr1* transfected cells differentiated according to the method of the invention generate cells that produce 50 to 5000 times, more typically 100 to 1000 times more dopamine than wild-type ES cells differentiated according to the method of the invention. In yet another embodiment, the ES cells can be transfected with other genes of the steroid/thyroid hormone nuclear receptor superfamily, more preferably genes of the NGFI-B subfamily, for examples genes such as *Pxt3*, *Nurr77*, or NGFI-B.

The method of the invention can be used to culture a variety of cells, preferably neuronal cells, including, but not limited to dopaminergic neuron cells, cholinergic neuronal cells and serotonergic neuron cells. Preferably, the method of the invention is used to generate dopaminergic and serotonergic cells. Most preferably, the method is used to generated dopaminergic cells.

The invention also provides a method for treating a neurological disorder, such as Parkinson's disease, a method of introducing a gene product into a brain of a patient, and an assay for neurologically active substances.

The invention also provides a cell culture which includes about 50% to about 85%, more typically between about 65% and 80% neurons. Of the neurons in the cell culture, typically between about 20% and 40%, more typically between about 25% and 30% are dopaminergic neurons. The cell culture also includes glial cells, typically between about 1% to about 3% astrocytes. Typically, at least some (e.g., at least 90%, more preferably at least 95%) of the neuronal cells in the culture are synaptically active.

#### **Brief Description of the Figures**

FIG.1 is a flow chart for a process of generating dopamine neuronal populations from undifferentiated ES cells

FIG.2 is a photograph of a gel showing differential gene expression in the cells in stages 1-4 of the process outlined in figure 1.

FIG.3 is a photograph of a gel showing that components of SHH and FGF8 signaling pathways are expressed during ES cell development.

FIG.4 is a bar graph showing the combination of SHH and FGF8 during stage 4 and ascorbic acid during stage 5 increase the yield of TH+ neurons in ES cell cultures.

FIG.5 is a bar graph demonstrating that the ES cells-derived cells secrete dopamine.

FIG.6 is a bar graph showing that SHH promotes generation of serotonergic neurons.

FIG.7 is a bar graph comparing the amount of TH+ and TUJ1+ cells produced using the method of the invention and the method of Okabe et al.

FIG.8 is a bar graph comparing the amount of TH+ cells produced using various culture media.

5 FIG.9A is a graph showing the action potential spiking behavior of differentiated neurons within a cell culture of the invention.

FIG.9B is a graph showing the action potential after application of GABA to the dendrites of an ES-derived neuron.

10 FIG.9C is a graph showing the action potential after application of glutamate to the dendrites of an ES-derived neuron.

FIG.9D is a graph showing a decrease in spontaneous activity in an ES-derived neurons when action potentials were blocked with tetrodotoxin.

FIG.10A is a graph comparing TuJ1 expression of differentiated wild-type ES cells and *Nurr1*-transfected cells.

15 FIG.10B is a graph comparing dopamine release from differentiated wild-type cells and *Nurr1*-transfected ES cells.

FIG.11A shows two graphs comparing the rotational behavior of animals grafted with differentiated wild-type cells and *Nurr1*-transfected ES cells.

20 FIG.11B is a patch clamp recordings showing the synaptic activity of differentiated *Nurr1*-transfected ES cells.

### **Detailed Description of the Invention**

#### **A. Overview**

25 A first aspect of the invention provides a technique for generating specific neuronal cell types, in particular, neurons with patterns of gene expression characteristic of midbrain neurons. In a preferred embodiment, the invention provides a technique for culturing embryonic stem (ES) cells to provide dopaminergic neurons. However, the process may also be used to generate other neuronal subtypes, for example, ES derived GABAergic, glutamatergic, cholinergic, 30 and serotonergic neurons. Preferably, the method is used to generate ventral neurons such as cholinergic, dopaminergic and serotonergic neurons. Dopaminergic and serotonergic neurons are derived from a common progenitor cells. The cell culture technique preferably generates ventral neuron subtypes derived from this common progenitor, such as dopaminergic and serotonergic neurons. Furthermore, cells of 35 other mid and/or hindbrain structures, such as the cerebellum, may be derived from ES cells using the process of the invention.

According to the invention, specific culture conditions induce the progression of ES cells through a series of transitions that culminate in the

generation of functional differentiated neurons. The strategy for inducing nervous system differentiation of ES cells is shown schematically in Figure 1. In the first stage (stage 1), undifferentiated ES cells are expanded. In the second stage (stage 2), embryoid bodies that include an inner core of undifferentiated stem cells surrounded by primitive endoderm are generated in suspension culture. Preferably, the embryoid bodies are generated from individual ES cells, rather than clusters of ES cells. In the third step (stage 3), the cells of the embryoid bodies are cultured to select for Central Nervous System (CNS) precursor (or stem) cells. In the subsequent step (stage 4), the CNS precursors are expanded in the presence of neurologic agents which encourage the formation of midbrain neuronal precursors, preferably dopaminergic neuronal precursors. Examples of neurologic agents include basic fibroblast growth factor (bFGF), fibroblast growth factor-8 (FGF8) and sonic hedgehog (SHH) protein. The inventors have discovered that culturing CNS precursors in media which includes FGF8 and SHH enhances the generation of midbrain (e.g., dopaminergic) neurons. Differentiation of the expanded CNS precursors is then induced by the withdrawal of at least one neurologic agent, typically bFGF (stage 5). Preferably, the CNS precursors are also exposed to ascorbic acid during differentiation (stage 5). According to the invention, the CNS precursors differentiate into midbrain neuron cells. Preferably, the expanded CNS precursors are cultured in a differentiation media that includes ascorbic acid. In a preferred embodiment, approximately 20% to 40% of the neuronal cells are dopamine neurons.

According to the process of the invention, a culture of between about  $1 \times 10^6$  to about  $5 \times 10^6$  ES cells typically generate between about  $7 \times 10^6$  to about  $35 \times 10^6$  neurons. Preferably, the culture includes between about  $2 \times 10^6$  to about  $15 \times 10^6$  dopaminergic neurons, i.e., about 2 to about 3 dopaminergic neurons are harvested (stage 5) for every undifferentiated ES cell plated (stage 1).

Another aspect of the invention is directed to a neuronal cell culture which includes about 50% to about 85%, more typically between about 65% and 80% neurons. Of the neurons in the cell culture, typically between about 20% and 40%, more typically between about 25% and 30% are dopaminergic neurons (TH+ cells). The cell culture also includes about 1% to about 3% astrocytes.

The percentage of dopaminergic neurons obtained in the process of the invention is higher than any other process known at this time, in vitro or in vivo. Generally, the efficiency of dopamine neuron generation has not surpassed 5% of total cells in primary mesencephalic cultures (Spenger et al., (1996) "Fetal ventral mesencephalon of human and rat origin maintained in vitro and transplanted to 6-hydroxydopamine-lesioned rats gives rise to grafts rich in dopaminergic neurons,"

*Exp.Brain.Res.* 112:47-57) and 18.3% of total cells in cultures generated from bFGF expanded midbrain precursors. (Studer et al., (1998) "Transplantation of expanded mesencephalic precursors leads to recovery in parkinsonian rats," *Nature Neurosci.* 1:290-295).

5

#### B. Definitions

"Fibroblast growth factor" or "FGF" refers to any suitable fibroblast growth factor, derived from any animal, and functional fragments thereof. A variety of FGF's are known and include, but are not limited to, FGF-1 (acidic fibroblast growth factor), FGF-2 (basic fibroblast growth factor), FGF-3 (int-2), FGF-4 (hst/K-FGF), FGF-5, FGF-6, FGF-7, FGF-8, FGF-9 and FGF-98.

10

"Central Nervous System" or "CNS" refers to the part of the nervous system of an animal that contains a high concentration of cell bodies and synapses and is the main site of integration of nervous activity. In higher animals, the CNS generally refers to the brain and spinal cord.

15

As used herein, the term "differentiation" refers to the process whereby relatively unspecialized cells (e.g., embryonic cells) acquire specialized structural and/or functional features characteristic of mature cells. Typically, during differentiation, cellular structure alters and tissue-specific proteins appear. The term "differentiated neuronal cells" refers to cells expressing a full complement of proteins characteristic of the specific neuronal cell type in contrast to other nerve cell types, such as astrocytes, oligodendrocytes and glial cells.

20

"Dopaminergic neurons" refers to neuronal cells that produce the neurotransmitter dopamine. Typically, dopaminergic neurons are highly concentrated in the substantia nigra of the midbrain.

25

Dopamine, along with epinephrine, norepinephrine, and serotonin, belongs to a chemical family referred to "monoamines." Within the family of monoamines, epinephrine, norepinephrine, and dopamine are derived from the amino acid tyrosine and form a subfamily called the catecholamines. Frequently, tyrosine hydroxylase (TH), the rate-limiting enzyme for the biosynthesis of dopamine, is used as a marker to identify dopaminergic neurons.

30

An "effective amount" of agent is an amount sufficient to prevent, treat, reduce and/or ameliorate the symptoms and/or underlying causes of any of the above disorders or diseases. In some instances, an "effective amount" is sufficient to eliminate the symptoms of those diseases and, perhaps, overcome the disease itself.

35

"Embryonic stem (ES) cells" refers to cells isolated from the inner cell mass of the developing blastocyst. "ES cells" can be derived from any organism. ES cells derived from mammals, including mice, rats, rabbits, guinea pigs, goats, pigs, cows

and humans. Human and murine derived ES cells are preferred. ES cells are totipotent cells, meaning that they can generate all of the cells present in the body (bone, muscle, brain cells, etc.).

5 As used herein, the terms "expand", "expansion" or "expanded" refer to a process by which the number or amount of cells in a cell culture is increased due to cell division. The terms "proliferate", "proliferation" or "proliferated" may be used interchangeably with the words "expand", "expansion", or "expanded." Typically, during an expansion phase, the cells do not differentiate to form mature cells.

10 The term "neurological disorder" refers to a disorder in the nervous system, including the CNS and PNS. Examples of neurological disorders include Parkinson's disease, Huntington's disease, Alzheimer's disease, severe seizure disorders including epilepsy, familial dysautonomia as well as injury or trauma to the nervous system, such as neurotoxic injury or disorders of mood and behavior such as addiction, schizophrenia and amyotrophic lateral sclerosis.

15 The term "patient" as used herein generally refers to any warm blooded mammal, such as humans, non-human primates, rodents and the like which is to be the recipient of the particular treatment.

"Peripheral Nervous System" or "PNS" refers to the part of an animal's nervous system other than the Central Nervous System. Generally, the PNS is located in the peripheral parts of the body and includes cranial nerves, spinal nerves and their branches, and the autonomic nervous system.

20 "Precursor" or "stem" cell refers to a cell that can generate a fully differentiated functional cell of a given cell type. The role of stem cells in vivo is to replace cells that are destroyed during the normal life of an animal. Generally, stem cells can divide without limit. After division, the stem cell may remain as a stem cell or proceed to terminal differentiation. Although appearing morphologically unspecialized, the stem cell may be considered differentiated where the possibilities for further differentiation are limited.

25 "Prevent", as used herein, refers to putting off, delaying, slowing, inhibiting, or otherwise stopping, reducing or ameliorating the onset of such brain diseases or disorders.

Sonic Hedgehog (SHH), Desert Hedgehog (DHH), and Indian Hedgehog (IHH) genes encode a family of morphogen proteins that are implicated in a wide range of signaling activities, particularly during embryonic development. These secreted proteins are proposed to mediate their effects on target cells by interacting with their putative receptor, Patched (Ptc), and with a seven-pass transmembrane protein, Smoothened (Smo). However, the roles that these signaling molecules may play in adult tissues, particularly in brain, are not yet clearly defined. Data suggests

that, besides its roles in determining cell fate and patterning during embryogenesis, the hedgehog signaling pathway may have also important roles in the adult brain. "Sonic Hedgehog Protein" or "SHH" refers to any suitable sonic hedgehog protein, derived from any animal, and functional fragments thereof.

5 "Synapse" refers to highly specialized intercellular junctions between neurons and between neurons and effector cells across which a nerve impulse is conducted. Generally, the nerve impulse is conducted by the release from one neuron (pre-synaptic neuron) of a chemical transmitter (such as dopamine or serotonin), which diffuses across the narrow intercellular space to the other neuron  
10 or effector cell (post-synaptic neuron). Generally neurotransmitters mediate their effects by interacting with specific receptors incorporated in the post-synaptic cell. "Synaptically active" refers to cells (e.g., differentiated neurons) which receive and transmit action potentials characteristic of mature neurons.

The term "full-length" peptide refers to the peptide encoded by the full DNA  
15 coding sequence. The full-length peptide can be either a wild-type or a mutant peptide.

The term "wild-type" refers to a naturally occurring phenotype that is characteristic of most of the members of a species (in contrast to the phenotype of a mutant, such as a mutant created by genetic modification).

20 The term "mutant" refers to a peptide not having a wild-type sequence. The term "mutein" refers to a mutant protein produced by site-specific mutagenesis or other recombinant DNA technique wherein the mutein retains the desired activity of the wild-type peptide. Preferred mutants include mutants containing conservative amino acid substitutions. As used herein, "conservative amino acid substitution"  
25 refers to a replacement of one or more amino acid residue with a different residue having a sidechain with at least one similar biochemical characteristic, such as size, shape, charge or polarity.

The term "fragment" refers to a sequence that includes at least part of the wild-type sequence or mutant sequence, wherein the fragment retains the desired  
30 activity of the wild-type peptide. Preferably, the DNA or RNA encoding the fragment or mutant is capable of hybridizing to all or a portion of the DNA or RNA of the wild-type protein, or its complement, under stringent or moderately stringent hybridization conditions (as defined herein).

The term "hybridizing" refers to the pairing of complementary nucleic acids.  
35 Hybridization" can include hydrogen bonding, which may be Watson-Crick, Hoogsteen or reversed Hoogsteen hydrogen bonding, between complementary nucleoside or nucleotide bases. Hybridization and the strength of hybridization (i.e., the strength of the association between the nucleic acids) is influenced by such

factors as the degree of complementarity between the nucleic acids, stringency of the conditions involved, the melting temperature ( $T_m$ ) of the formed hybrid, and the G:C ratio within the nucleic acids. Complementarity may be "partial," in which only some of the bases of the nucleic acids are matched according to the base pairing rules. Alternatively, there may be "complete" or "total" complementarity between the nucleic acids. The degree of complementarity between the nucleic acid strands has effects on the efficiency and strength of hybridization between the nucleic acid strands.

As used herein, the term "percent homology" or "percent identity" of two nucleic acid sequences is determined using the algorithm of Karlin and Altschul (1990) *Proc. Natl. Acad. Sci. USA* 87: 2264-2268, modified as in Karlin and Altschul (1993) *Proc. Natl. Acad. Sci. USA* 90: 5873-5877. Such an algorithm is incorporated into the NBLAST program of Altschul et al. (1990) *J. Mol. Biol.* 215: 402-410. To obtain gapped alignments for comparison purposes, Gapped BLAST is used as described by Altschul et al. (1997) *Nucleic Acids Res.* 25: 3389-3402. When using BLAST and gapped BLAST programs, the default parameters of the respective programs (e.g., NBLAST) are used.

"Percent (%) amino acid sequence identity" is defined as the percentage of amino acid residues in a candidate sequence that are identical with the amino acid residues in the wild-type sequence after aligning the sequences in the same reading frame and introducing gaps, if necessary, to achieve the maximum percent sequence identity, and not considering any conservative substitutions as part of the sequence identity. Alignment for purposes of determining percent amino acid sequence identity can be achieved in various ways that are within the skill in the art, for instance, using publicly available computer software such as BLAST software. Those skilled in the art can determine appropriate parameters for measuring alignment, including any algorithms needed to achieve maximal alignment over the full length of the sequence being compared.

"Percent (%) nucleic acid sequence identity" with respect to the wild-type sequences identified herein is defined as the percentage of nucleotides in a candidate sequence that are identical with the nucleotides in the sequence, after aligning the sequences and introducing gaps, if necessary, to achieve the maximum percent sequence identity. Alignment for purposes of determining percent nucleic acid sequence identity can be achieved in various ways that are within the skill in the art, for instance, using publicly available computer software. Those skilled in the art can determine appropriate parameters for measuring alignment, including any algorithms needed to achieve maximal alignment over the full length of the sequences being compared.



"Treat", "Treating", "Treatment" and "Therapy" refer to any one or more of reducing or eliminating the symptoms of a particular disorder, slowing the progression, attenuating or curing an existing disease.

5 C. Neurologic Agents

As used herein, the term "neurologic agent" refers to any substance that promotes the function or survival of neurons. For example, a preferred neurologic agent can promote nerve or glial cell growth, promote survival of functioning cells, augment the activity of functioning cells, enhance the synthesis of neurotransmitter  
10 substances, augment the activity of naturally occurring nerve growth promoting factors, act as a nerve growth promoting factor, prevent degeneration of neurons, induce regrowth of dendrite and axon, have more than one of these properties, or the like. A preferred neurologic agent is a neurotrophic and/or neuritogenic factor that is similar to a naturally occurring nerve growth promoting substance. Numerous  
15 neurologic agents are known to those of skill in the art.

The term "neurologic agent" includes nerve growth factor (NGF), neurotrophins such as neurotrophins 3, 4, and/or 5 (NT-3, NT-4 and/or NT-5), brain-derived neurotrophic factor (BDNF), fibroblast growth factors (FGFs, e.g., basic fibroblast growth factor), insulin, insulin-like growth factors (IGFs, e.g., IGF-I  
20 and/or IGF-II), ciliary neurotrophic factor (CNTF), glia-derived neurotrophic factor (GDNF), glia-derived nexin, hedgehog proteins, including sonic hedgehog (SHH), desert hedgehog (DHH) and Indian hedgehog (IHH), *Nurr1*, *Ptx3*, *Nurr77* and NGFI-B, combinations thereof, and functional fragments thereof.

25 1. FGF

"FGF" refers to a fibroblast growth factor protein such as FGF-1, FGF-2, FGF-4, FGF-6, FGF-8, FGF-9 or FGF-98, or a biologically active fragment or  
mucin thereof. The FGF can be from any animal species including, but not limited to, rodent, avian, canine, bovine, porcine, equine, and, preferably, human.  
30 Preferably the FGF is from a mammalian species, and more preferably is from a mammal of the same species as the mammal undergoing treatment.

The amino acid sequences and method for making many of the FGFs are well known in the art.

The amino acid sequence of human FGF-1 and a method for its recombinant  
35 expression are disclosed in U.S. Patent No. 5,604,293 (Fiddes), entitled "Recombinant Human Basic Fibroblast Growth Factor," which issued on February 18, 1997. See Fig. 2d of the '293 patent. The amino acid sequence of bovine FGF-1 is disclosed in U.S. Patent 5,604,293 (Fiddes) at Fig. 1b, as is a method for its

expression. The mature forms of both human FGF-1 and bovine FGF-1 have 140 amino acid residues, differing only at 19 residue positions.

The amino acid sequence of human FGF-2 and methods for its recombinant expression are disclosed in U.S. Patent 5,439,818 (Fiddes) entitled "DNA Encoding Human Recombinant Basic Fibroblast Growth Factor," which issued on August 8, 1995 (see Fig. 4 therein). The amino acid sequence of bovine FGF-2 and various methods for its recombinant expression are disclosed in U.S. Patent 5,155,214, entitled "Basic Fibroblast Growth Factor," which issued on October 13, 1992. When the 146 residue forms are compared, their amino acid sequences are nearly identical with only two residues that differ.

FGF-3 was first identified as an expression product of a mouse int-2 mammary tumor and its amino acid sequence is disclosed in Dickson et al., "Potential Oncogene Product Related to Growth Factors," *Nature* 326:833 (April 30, 1987). FGF-3 which has 243 residues when the N-terminal Met is excluded, is substantially longer than both FGF-2 and FGF-2.

The amino acid sequence for human FGF-4 (previously referred to as "hst"), was first disclosed by Yoshida, et al., "Genomic Sequence of hst, a Transforming Gene Enclosing a Protein Homologous to Fibroblast Growth Factors and the int-2 Enclosed Protein," *PHAS USA*, 84:7305-7309 (Oct. 1987) at Fig. 3. Including its leader sequence, FGF-4 has 206 amino acid residues. When the amino acid sequences of human FGF-4, FGF-1, FGF-2 and murine FGF-3 are compared, residues 72-204 of human FGF-4 have 43% homology to human FGF-2; residues 79-204 have 38% homology to human FGF-1; and residues 72-174 have 40% homology to murine FGF-3. A comparison of these four sequences in overlap form is shown in Yoshida (1987) at Figure 3.

The cDNA and deduced amino acid sequences for human FGF-5 are disclosed in Zhan, et al., "The Human FGF-5 Oncogene Encodes a Novel Protein Related to Fibroblast Growth Factors," *Molec. And Cell. Biol.*, 8(8):3487-3495 (Aug. 1988) at Fig. 1. A comparison between the amino acid sequences of human FGF-1, human FGF-2, murine FGF-3, human FGF-4 and FGF-5 is presented in Fig. 2 of Zhan (1988). In Fig. 2 of Zhan, human FGF-1, FGF-2, and FGF-4 and murine FGF-3 are identified as aFGF (i.e., acidic FGF), bFGF (i.e., basic FGF), and hstKS3 and int-2, respectively. In the above referenced comparison, two blocks of FGF-5 amino acid residues (90 to 180 and 187-207) showed substantial homology to FGF 1-4, i.e., 50.4% with FGF-4, 47.5% with FGF-3, 43.4% with FGF-2 and 40.2% with FGF-1.

The cDNA and deduced amino acid sequence for human FGF-6 are disclosed in Coulier et al., "Putative Structure of the FGF-6 Gene Product and Role of the

Signal Peptide," *Oncogene* 6:1437-1444 (1991) at Fig. 2. Coulier also discloses a method for cloning FGF-6. FGF-6 is one of the largest of the FGFs, having 208 amino acid residues. When the amino acid sequences of human FGF-1, FGF-2, FGF-3, FGF-4, FGF-5, FGF-6 and FGF-7 are compared, there are strong similarities in the C-terminal two-thirds of the molecules (corresponding e.g., to residues 78-208 of human FGF-6. In particular, 23 residues of FGF-6, including the two cysteines at residue positions 90-157 of FGF-6 were identical between the seven members of the family. This number increases to 33 residues when conserved amino acid residues are considered. The overall similarities between these seven human FGFs ranged from 32% to 70% identical residues and 48% to 79% conserved residues for the C-terminal two-thirds of the molecules.

The amino acid sequence of human FGF-7 is well-known in the art and disclosed in Miyamoto, et.al., "Molecular Cloning of a Novel Cytokine cDNA Encoding the Ninth Member of the Fibroblast Growth Factor Family, Which has a Unique Secretion Property," *Mol. And Cell. Biol.* 13(7):4251-4259 (1993) at Fig. 2. In Miyamoto, human FGF-7 was referred to by its older name "KGF". FGF-7 has 191 amino acids.

The cDNA and deduced amino acid sequence of murine FGRF-8 is well-known in the art and disclosed in Tanaka et. A., "Cloning and Characterization of an Androgen-Induced Growth Factor Essential for the Growth of Mouse Mammary Carcinoma Cells," *PNAS USA*, 89:8928-8932 (1992) at Fig. 2. Tanaka also discloses a method for making recombinant FGF-8. The FGF-8 of Tanaka has 215 amino acid residues. MacArthur, et al., "FGF-8 isoforms activate receptor splice forms that are expressed in mesenchymal regions of mouse development," *Development*, 121:3603-3613 (1995) discloses the FGF-8 has 8 different isoforms that differ at the mature N-terminus but that are identical over the C-terminal region. The 8 isoforms arise because FGF-8 has 6 exons of which the first four (which correspond to the first exon of most other FGF genes) result in alternative splicing.

The cDNA and deduced amino acid sequences of human and murine FGF-9 are known in the art and methods for their recombinant expressions are disclosed in Santos-Ocampo, et. Al., "Expression and Biological Activity of Mouse Fibroblast Growth Factor," *J. Biol. Chem.*, 271(3):1726-1731 (1996). Both the human and murine FGF-9 molecules have 208 amino acid residues and sequences that differ by only two residues.

The cDNA and amino acid sequence of human FGF-98 and a method for its recombinant expression are disclosed in provisional patent application Serial No. 60/083,553 which is hereby incorporated herein by reference in its entirety. FGF-98, which is also known as FGF-18, has 207 amino acid residues.

bFGF-2, and other FGFs, can be made as described in U.S. Patent 5,155,214 ("the '214 patent"). The recombinant bFGF-2, and other FGFs, can be purified to pharmaceutical quality (98% or greater purity) using the techniques described in detail in U.S. Pat. 4,956,455 (the '455 patent), entitled "Bovine Fibroblast Growth Factor" which issued on September 11, 1990.

Biologically active variants of FGF are also encompassed by the method of the present invention. Such variants should retain FGF activities, particularly the ability to bind to FGF receptor sites. FGF activity may be measured using standard FGF bioassays, which are known to those of skill in the art. Representative assays include known radioreceptor assays using membranes, a bioassay that measures the ability of the molecule to enhance incorporation of tritiated thymidine, in a dose-dependent manner, into the DNA of cells, and the like. Preferably, the variant has at least the same activity as the native molecule.

In addition to the above described FGFs, the neurologic agent also includes an active fragment of any one of the above-described FGFs. In its simplest form, the active fragment is made by the removal of the N-terminal methionine, using well-known techniques for N-terminal Met removal, such as a treatment with a methionine aminopeptidase. A second desirable truncation includes an FGF without its leader sequence. Those skilled in the art recognize the leader sequence as the series of hydrophobic residues at the N-terminus of a protein that facilitate its passage through a cell membrane but that are not necessary for activity and that are not found on the mature protein.

Preferred truncations on the FGFs are determined relative to mature FGF-2 having 146 residues. As a general rule, the amino acid sequence of an FGF is aligned with FGF-2 to obtain maximum homology. Portions of the FGF that extend beyond the corresponding N-terminus of the aligned FGF-2 are generally suitable for deletion without adverse effect. Likewise, portions of the FGF that extend beyond the C-terminus of the aligned FGF-2 are also capable of being deleted without adverse effect.

Fragments of FGF that are smaller than those described can also be employed in the present invention.

Suitable biologically active variants can be FGF analogues or derivatives. By "analogue" is intended an analogue of either FGF or an FGF fragment that includes a native FGF sequence and structure having one or more amino acid substitutions, insertions, or deletions. Analogs having one or more peptoid sequences (peptide mimic sequences) are also included (see e.g. International Publication No. WO 91/04282). By "derivative" is intended any suitable modification of FGF, FGF fragments, or their respective analogues, such as

glycosylation, phosphorylation, or other addition of foreign moieties, so long as the FGF activity is retained. Methods for making FGF fragments, analogues, and derivatives are available in the art.

In addition to the above described FGFs, the method of the present invention  
5 can also employ an active mutein or variant thereof. By the term active mutein, as  
used in conjunction with an FGF, is meant a mutated form of the naturally occurring  
FGF. FGF muteins or variants will generally have at least 70%, preferably 80%,  
more preferably 85%, even more preferably 90% to 95% or more, and most  
preferably 98% or more amino acid sequence identity to the amino acid sequence of  
10 the reference FGF molecule. A mutein or variant may, for example, differ by as few  
as 1 to 10 amino acid residues, such as 6-10, as few as 5, as few as 4, 3, 2, or even 1  
amino acid residue.

The sequence identity can be determined as described hereinabove. For  
FGF, a preferred method for determining sequence identity employs the Smith-  
15 Waterman homology search algorithm (*Meth. Mol. Biol.* 70:173-187 (1997)) as  
implemented in MSPRCH program (Oxford Molecular) using an affine gap search  
with the following search parameters: gap open penalty of 12, and gap extension  
penalty of 1. Preferably, the mutations are "conservative amino acid substitutions"  
using L-amino acids, wherein one amino acid is replaced by another biologically  
20 similar amino acid. As previously noted, conservative amino acid substitutions are  
those that preserve the general charge, hydrophobicity, hydrophilicity, and/or steric  
bulk of the amino acid being substituted. Examples of conservative substitutions are  
those between the following groups: Gly/Ala, Val/Ile/Leu, Lys/Arg, Asn/Gln,  
Glu/Asp, Ser/Cys/Thr, and Phe/Trp/Tyr.

25 One skilled in the art, using art known techniques, is able to make one or  
more point mutations in the DNA encoding any of the FGFs to obtain expression of  
an FGF polypeptide mutein (or fragment mutein) having angiogenic activity for use  
in method of the present invention. To prepare an biologically active mutein of an  
FGF, one uses standard techniques for site directed mutagenesis, as known in the art  
and/or as taught in Gilman, *et al.*, *Gene*, 8:81 (1979) or Roberts, *et al.*, *Nature*,  
30 328:731 (1987), to introduce one or more point mutations into the cDNA that  
encodes the FGF.

## 2. *Nurr1*

35 *Nurr1* (also known as NOT/TINUR/RNR-1/HZF-3) is an orphan nuclear  
receptor, a member of the steroid/thyroid hormone nuclear receptor superfamily, in  
the NGFI-B subfamily, which also includes NOR1. *Nurr1* is predominantly  
expressed in the midbrain; substantia nigra (SN) and ventral tegmental area (VTA).

Nurr1 is associated with the development and differentiation of midbrain DA neurons.

Human Nurr1 gene has been mapped on chromosome 2q22-23. The sequence for human Nurr1, which is approximately 8.3kb long, consisting of eight exons and seven introns has been characterized by Torii et al. "Organization of the human orphan receptor Nurr1 gene," *Gene* 230(2):225-32 (1999); and Ichinose et al., "Molecular cloning of the human Nurr1 gene: characterization of the human gene and cDNAs," *Gene* 230(2):233-9 (1999). The murine Nurr1 gene is approximately 7 kb long and has been characterized by Law et al., "Identification of a new brain-specific transcription factor, NURR1," *Mol. Endocrinol.* 6(12):2129-2135 (1992); and Castillo et al., "Organization, sequence, chromosomal localization, and promoter identification of the mouse orphan nuclear receptor Nurr1 gene," *Genomics* 41(2):250-257 (1997).

Human Nurr1, mouse Nurr1, mouse Nur77 and human NOR-1 have been shown to have highly conserved genomic structures.

As used herein, the term "*Nurr1*" not only refers to the full-length, wild-type *Nurr1* sequence, but also mutants, and fragments of the wild-type and mutant sequences. That is, the method of the invention can be used with a fragment of *Nurr1* protein or a mutant thereof. Variants of Nurr1 preferably retain *Nurr1* activity.

An active fragment or variant of *Nurr1* can be used. Preferred fragments and variants retain the DNA binding domain of the protein.

Suitable biologically active variants can be *Nurr1* analogues or derivatives. By "analogue" is intended an analogue of either *Nurr1* or a *Nurr1* fragment that includes a native *Nurr1* sequence and structure having one or more amino acid substitutions, insertions, or deletions. Analogs having one or more peptoid sequences (peptide mimic sequences) are also included (see e.g. International Publication No. WO 91/04282). By "derivative" is intended any suitable modification of Nurr1, Nurr1 fragments, or their respective analogues, such as glycosylation, phosphorylation, or other addition of foreign moieties, so long as the *Nurr1* activity is retained. Methods for making *Nurr1* fragments, analogues, and derivatives are available in the art.

Additionally, an active mutein or variant of *Nurr1* can be used. The term mutein refers to a mutated form of a naturally occurring *Nurr1*. Preferably *Nurr1* muteins or variants have at least 70%, preferably 80%, more preferably 85%, even more preferably 90% to 95% or more, and most preferably 98% or more amino acid sequence identity to the amino acid sequence of the reference *Nurr1* molecule. A mutein or variant may, for example, differ by as few as 1 to 10 amino acid residues,

such as 6-10, as few as 5, as few as 4, 3, 2, or even 1 amino acid residue. The sequence identity can be determined as described hereinabove. Preferably, the mutations are "conservative amino acid substitutions" using L-amino acids, wherein one amino acid is replaced by another biologically similar amino acid. As

5 previously noted, conservative amino acid substitutions are those that preserve the general charge, hydrophobicity, hydrophilicity, and/or steric bulk of the amino acid being substituted. Examples of conservative substitutions are those between the following groups: Gly/Ala, Val/Ile/Leu, Lys/Arg, Asn/Gln, Glu/Asp, Ser/Cys/Thr, and Phe/Trp/Tyr.

10 One skilled in the art, using art known techniques, is able to make one or more point mutations in the DNA encoding *Nurr1* to obtain expression of *Nurr1* mutein (or fragment mutein) having activity for use in method of the present invention.

15 Preferably hybridizing portion of the hybridizing nucleic acids is at least 15 (e.g., 20, 25, 30 or 50) nucleotides in length and at least 50% (e.g., at least 80%, 95%, or 98%) identical to a sequence of wild type *Nurr1*, or its complement, or fragments thereof.

20 Although the disclosure focuses on transfection with *Nurr1*, other members of the steroid/thyroid hormone nuclear receptor family, particularly in the NGFI-B subfamily can be used, for example Ptx3, *Nurr77* and NGFI-B.

D. Process for obtaining differentiated midbrain neural cells from embryonic stem cells

25 The invention provides a technique for generating of functional dopamine neurons from embryonic stem cells. The strategy for inducing nervous system differentiation of ES cells (shown schematically in Figure 1) is similar to that introduced by Okabe et al., (1996) "Development of neuronal precursor cells and functional postmitotic neurons from embryonic stem cells in vitro," *Mech. Dev.* 59:89-102.

30

1. Expansion of undifferentiated embryonic stem (ES) cells

35 In the first stage (stage 1), undifferentiated embryonic stem (ES) cells, for example human, mouse or rat ES cells, are cultured in ES proliferation media to expand the number of cells. Generally, the ES cells can be expanded at least about 1000 fold without losing pluripotency.

Preferably, ES cells are cultured in an ES growth media which generally includes a carbon source, a nitrogen source and a buffer to maintain pH. More specifically, ES growth media typically contains a minimal essential media, such as

DMEM, supplemented with various nutrients to enhance ES cell growth. Additionally, the minimal essential media may be supplemented with additives such as horse, calf or fetal bovine serum (between about 10 % by dry weight and 15% by dry weight), nonessential amino acids, L-glutamine, and antibiotics such as streptomycin, penicillin, and combinations thereof. 2-mercaptoethanol may also be included in the media. ES growth media is commercially available, for example as KO-DMEM (Life-Tech Catalog No. 10829-018).

Other methods and media for obtaining and culturing embryonic stem cells are known and are suitable for use in this invention, see, for example, Evans et al., (1981), "Establishment in culture of pluripotential cells from mouse embryos," *Nature* 292:154-156; Martin et al., (1981) "Isolation of a pluripotent cell line from early mouse embryos cultured in medium conditioned by teracarcinoma stem cells," *Proc.Natl.Acad.Sci.* 78:7634-7636; Robertson et al., (1986) "Germ line transmission of a gene introduced into cultured pluripotential cells by a retroviral vector," *Nature* 323:445-448; Doetschman et al., (1987) "Targeted correction of a mutant HPRT gene in mouse embryonic stem cells," *Nature* 330:576-578; "Thomas et al., (1987) "Site directed mutagenesis by gene targeting in mouse embryo-derived stem cells," *Cell* 51:503-512; Thomson et al., (1998) "Embryonic stem cell lines derived from human blastocysts," *Science* 282:1145-1147; and Shambloott et al., (1998) "Derivation of pluripotent stem cells from cultured human primordial germ cells," *Proc.Natl.Acad.Sci.U.S.A.* 95:13726-13731. The disclosures of these seven references are hereby incorporated by reference herein.

Preferably, the ES cells are cultured on plates, for example surface coated plates, which prevent differentiation of the ES cells, such as gelatin coated tissue culture plates or on plate which includes a feeder cell layer such as a fibroblast cell layer in the presence of LIF (Leukemia Inhibitory Factor), a growth factor that prevents differentiation of ES cells. Generally, the ES cells are cultured for about 4 days to about 8 days, more preferably about 6 days to about 7 days at a temperature between about 35°C and about 40°C, more preferably about 37°C under an atmosphere which contains oxygen and between about 1 wt% to 5wt% CO<sub>2</sub>. Preferably, the media is changed about every 1 to 2 days.

Although an expansion step is not necessary, the ES cells are preferably expanded as described above prior to the stage of embryoid body formation (stage 2) to increase the amount of differentiated midbrain neurons produced by the process of the invention.



## 2. Generation of embryoid bodies

In the second stage (stage 2), embryoid bodies are generated in suspension culture according to the method described by Martin et al., (1975) "Differentiation of clonal lines of teratocarcinoma cells: Formation of embryoid bodies in vitro,"

5 *Proc.Natl.Acad.Sci.* 72:1441-1445).

Briefly, to form embryoid bodies, the clusters of ES cells are disengaged from the tissue culture plates. Methods for disengaging cells from tissue culture plates are known and include the use of enzymes, such as trypsin or papain, or commercially available preparations.

10 Generally, the ES cells disengage from the tissue culture plates in clusters (e.g., aggregates of 10 or more ES cells, typically 50 or more cells). The clusters of ES cells are then dissociated to obtain a population of cells which includes a majority of (e.g., between 50% and 70%, more preferably between 75% and 100%) individual cells. Methods for dissociating clusters of cells are likewise known. One  
15 method for dissociating cells includes mechanically separating the cells, for example, by repeatedly aspirating a cell culture with pipet. Preferably, the ES cells are in an exponential growth phase at the time of dissociation to avoid spontaneous differentiation that tends to occurs in an overgrown culture.

The dissociated ES cells are then cultured in ES proliferation media,  
20 described above. However, in contrast to the ES cell proliferation stage (in which the cells are grown on a tissue culture dish surface), the embryoid bodies are generated in suspension. For example, the cells may be cultured on non-adherent bacterial culture dishes. In this stage, the cells are incubated for about 4 days to about 7 days. Preferably, the medium is changed every 1 to 2 days.

25 As used herein, the term "embryoid bodies" refers to ES cell aggregates generated when ES cells are plated on a non-adhesive surface that prevents attachment and differentiation of the ES cells. Generally, embryoid bodies include an inner core of undifferentiated stem cells surrounded by primitive endoderm.

## 30 3. Selection for CNS precursors

In the third step (stage 3), the cells of the embryoid body are cultured to select for Central Nervous System (CNS) stem cells. To select for CNS stem cells, the EB cells are plated onto a coated surface that permits adhesion of CNS stem cells, for example a fibronectin-, laminin-, or vitronectin- coated surface. The cells  
35 are cultured using a medium which selects for CNS precursor cells, preferably the medium is a serum-free minimal essential medium, such as DMEM or F12, or a combination of DMEM and F12. Preferably, the serum-free medium is supplemented with nutrients such as insulin, selenium chloride, transferrin and

fibronectin. An example of a serum free media is ITSFn medium which includes DMEM and F12 in a ratio between 0.1:1 and 10:1 supplemented with between about 1 µg/ml to 10 µg/ml insulin, about 20 nM to about 40 nM selenium chloride, about 40 µg/ml to about 60 µg/ml transferrin and between about 1 µg/ml to 10 µg/ml  
5 fibronectin. Generally, the cells are incubated in the serum-free medium for between about 6 to about 8 days at a temperature between about 35°C and 40°C, preferably about 37°C under between about 1 % and 10 % CO<sub>2</sub> atmosphere, more preferably between about 2% and 6% CO<sub>2</sub>. Preferably the medium is changed every 1 to 2 days.

10 According to the invention, at the end of the selection stage, the cell culture contains more than about 50% CNS stem cells, preferably more than about 80% CNS stem cells, more preferably more than about 90% CNS stem cells. The CNS stem cells can be identified by the cell-specific protein nestin. Additionally, transcriptional regulators typical of the midbrain and hindbrain such as Pax2, Pax5,  
15 Wnt1 and En1 are expressed by the CNS precursor cells.

#### 4. Expansion of the CNS precursor cells

In the subsequent step (stage 4), the CNS precursors are expanded for about 6 to about 7 days, preferably until the amount of cells increases about 10 fold to  
20 about 100 fold. A variety of culture media are known and are suitable for use in this step. Generally, the proliferation media includes a minimal essential media such as DMEM and/or F12, preferably a combination of DMEM and F12 (at a ratio between about 0.1:1 to 10:1). Preferably the minimal essential media is supplemented with various nutrients such as glucose (between 0.5 mg/ml and 5.0 mg/ml), glutamine  
25 (between 0.01 mg/ml and 0.1 mg/ml), sodium bicarbonate (NaHCO<sub>3</sub>) (between 0.05 mg/ml and 5.0 mg/ml), insulin (between 10 mg/ml and 30 mg/ml), transferrin (between 50 mg/ml and 150 mg/ml), putrescine (between 50 µM and 150 µM), selenite (between 20 nM and 40 nM) and progesterone (between 10 nM and 30 nM). Preferably, the media includes between about 0.05 mg/ml and 5.0 mg/ml, more  
30 preferably between about 1.0 mg/ml to 2.0 mg/ml sodium bicarbonate. Preferably the media does not include 4-(2-hydroxyethyl)-1-piperazine-ethanesulfonic acid (HEPES). A preferred culture media includes N2 media.

The CNS proliferation media may also be supplemented with neurologic agents to encourage differentiation into neuron cells such as secreted signaling  
35 factors. Preferably, the culture media includes between about 5 ng/ml to about 30 ng/ml, more preferably between about 10 ng/ml to about 20 ng/ml basic fibroblast growth factor (bFGF) or epidermal growth factor (EGF). Most preferably, between about 10 ng/ml and about 20 ng/ml bFGF is included in the proliferation media.

The culture media may also be supplemented with neurologic agents to increase the efficiency of the generation of midbrain dopaminergic neurons, such as factors that control dopaminergic and serotonergic cell fates during embryogenesis in vivo. Preferably, the media includes about 100 ng/ml to about 1000 ng/ml, more preferably between about 250 ng/ml and 500 ng/ml sonic hedgehog (SHH) protein (or functional fragments thereof) and about 25 ng/ml to about 200 ng/ml, more preferably between about 50 ng/ml to about 100 ng/ml fibroblast growth factor-8 (FGF8) (or functional fragments thereof). Preferably, the media includes both FGF8 and SHH. The inventors discovered that the SHH and FGF8 have a synergistic effect, such that these factors are both significantly less effective when added singly than when added in combination.

The inventors discovered that application of neurologic agents, such as SHH and FGF8, at earlier stages (e.g., stages 1 and 2) was less effective for generating dopaminergic neurons. However, neurologic agents such as SHH and/or FGF8 may be included during stages 1 and 2 if desired.

#### 5. Differentiation of the expanded CNS precursors

Differentiation of the expanded CNS precursors to form mature neuronal cells is induced by withdrawal of at least one neurologic agent, typically bFGF (or EGF) (stage 5). Preferably, differentiation is induced by culturing the cells in media similar to the culture media used in stage 4, but without at least one neurologic agent (e.g., bFGF). Additionally, the media may contain factors to enhance dopaminergic neuron yield, such as between about 50 nM to about 500 nM ascorbic acid (AA), more preferably between about 100 nM and 300 nM AA, most preferably between about 150 nM and 250 nM AA. Ascorbic acid treatment tends to increase dopaminergic neuronal population in primary mesencephalic (midbrain) stem cell cultures. (Figure 4). Typically, when ascorbic acid is added during stage 5 greater than 40% and even greater than 45% of the neurons derived from ES cells express either dopamine or serotonin.

It is noteworthy that, after stage 4, the expanded cell population remains nestin+ (Figure 2) and therefore retains characteristics of CNS progenitor population.

#### 6. Nurr1-Transfected Cells

In one embodiment, the ES cells are transfected with an exogenous gene encoding a steroid/thyroid hormone nuclear receptor, such as *Nurr1*, prior to differentiation according to the method described above. Transfecting ES cells with *Nurr1* prior to differentiation according to the method described above can increase

dopamine expression between 50 to 5000 fold, more typically between 100 and 1000 fold. Additionally, *Nurr1*-transfected cells can increase the number of dopaminergic neurons generated using the method of the invention 2 to 10 times, more typically 4 to 5 times. While not wishing to be bound by theory, it is believed that *Nurr1* interacts with *Engrailed* (En-1; expressed in midbrain cells) to enhance TH expression.

The increase in TH expression due to transfection with *Nurr1* is associated largely with midbrain precursor cells. TH expression does not appear to be increased similarly in serotonin cells.

While *Nurr1* appears to be expressed in the transfected stem cells, it does not appear to be expressed in the differentiated neurons. Generally, the undifferentiated *Nurr1* transfected ES cells express some TH, indicating that *Nurr1* may be activating TH expression prematurely.

i. Vectors

The nucleic acid (e.g., cDNA or genomic DNA) encoding *Nurr1* may be inserted into a replicable vector for cloning (amplification of the DNA) or for expression. Various vectors are publicly available. The vector may, for example, be in the form of a plasmid, cosmid, viral particle, or phage. The appropriate nucleic acid sequence may be inserted into the vector by a variety of procedures. In general, DNA is inserted into an appropriate restriction endonuclease site(s) using techniques known in the art. Vector components generally include, but are not limited to, control sequences, such as a signal sequence, an origin of replication, a promoter, a ribozyme binding site, polyadenylation signals, an enhancer element, and/or a transcription termination sequence. The "control sequences" are DNA sequences operably linked to the desired coding sequence. Additionally, a vector may contain one or more marker genes. Construction of suitable vectors containing one or more of these components employs standard ligation techniques that are known to the skilled artisan.

A nucleic acid is "operably linked" when it is placed into a functional relationship with another nucleic acid sequence. For example, DNA for a presequence or secretory leader is operably linked to DNA for a polypeptide if it is expressed as a preprotein that participates in the secretion of the polypeptide; a promoter or enhancer is operably linked to a coding sequence if it affects the transcription of the sequence; or a ribosome binding site is operably linked to a coding sequence if it is positioned so as to facilitate translation. Generally, "operably linked" means that the DNA sequences being linked are contiguous, and, in the case of a secretory leader, contiguous and in reading phase. However,

enhancers do not have to be contiguous. Linking may be accomplished by ligation at convenient restriction sites. If such sites do not exist, the synthetic oligonucleotide adaptors or linkers may be used in accordance with conventional practice.

5        Typical selection markers encode proteins that (a) confer resistance to antibiotics or other toxins, *e.g.*, ampicillin, neomycin, methotrexate, or tetracycline, (b) complement auxotrophic deficiencies, or (c) supply critical nutrients not available from complex media, *e.g.*, the gene encoding D-alanine racemase for *Bacilli*. Expression and cloning vectors will typically contain a selection gene, also  
10        termed a selectable marker. Typical selection genes encode proteins that (a) confer resistance to antibiotics or other toxins, *e.g.*, ampicillin, neomycin, methotrexate, or tetracycline, (b) complement auxotrophic deficiencies, or (c) supply critical nutrients not available from complex media, *e.g.*, the gene encoding D-alanine racemase for *Bacilli*.

15        Promoters recognized by a variety of potential host cells are well known. Promoters suitable for use with in mammalian cells include promoters obtained from the genomes of viruses such as polyoma virus, fowlpox virus (UK 2,211,504 published 5 July 1989), adenovirus (such as Adenovirus 2), bovine papilloma virus, avian sarcoma virus, cytomegalovirus, a retrovirus, hepatitis-B virus, and Simian  
20        Virus 40 (SV40), from heterologous mammalian promoters, *e.g.*, the actin promoter or an immunoglobulin promoter, and from heat-shock promoters, provided such promoters are compatible with the host cell systems.

Enhancer sequences are typically cis-acting elements of DNA, usually about from 10 to 300 bp, that act on a promoter to increase its transcription. Many  
25        enhancer sequences from mammalian genes are known (globin, elastase, albumin,  $\alpha$ -fetoprotein, and insulin).

Termination sequences are also known. Such sequences are commonly available from the 5' and, occasionally 3', untranslated regions of eukaryotic or viral DNAs or cDNAs. These regions contain nucleotide segments transcribed as  
30        polyadenylated fragments in the untranslated portion of the mRNA encoding the gene.

## ii. Transfection Methods

Methods of transfection are known to the ordinarily skilled artisan and  
35        include, for example, lipofectin, CaPO<sub>4</sub>, and electroporation. Depending on the host cell used, transformation is performed using standard techniques appropriate to such cells. For mammalian cells without such cell walls, the calcium phosphate precipitation method of Graham and van der Eb, *Virology*, 52:456-457 (1978) can

be employed. General aspects of mammalian cell host system transformations have been described in U.S. Patent No. 4,399,216. For various techniques for transforming mammalian cells, see Keown et al., Methods in Enzymology, 185:527-537 (1990) and Mansour et al., Nature, 336:348-352 (1988).

5

### iii. Gene Expression

Gene expression may be measured in a sample directly, for example, by conventional Southern blotting, Northern blotting to quantitate the transcription of mRNA (Thomas, Proc. Natl. Acad. Sci. USA, 77: 5201-5205 (1980)), dot blotting (DNA analysis), or *in situ* hybridization, using an appropriately labeled probe, based on the sequences provided herein. Alternatively, antibodies may be employed that can recognize specific duplexes, including DNA duplexes, RNA duplexes, and DNA-RNA hybrid duplexes or DNA-protein duplexes. The antibodies in turn may be labeled and the assay may be carried out where the duplex is bound to a surface, so that upon the formation of duplex on the surface, the presence of antibody bound to the duplex can be detected.

Gene expression, alternatively, may be measured by immunological methods, such as immunohistochemical staining of cells or tissue sections and assay of cell culture or body fluids, to quantitate directly the expression of gene product. Antibodies useful for immunohistochemical staining and/or assay of sample fluids may be either monoclonal or polyclonal, and may be prepared in any mammal.

### E. Differentiated Cell Culture

Another aspect of the invention is directed to a cell culture which includes at least about 50%, more preferably at least about 70%, most preferably at least about 80% neurons. Of the neurons in the cell culture, typically between at least about 20%, more typically at least about 30%, and most preferably at least about 40% are TH+ cells such as dopaminergic neurons. The cell culture also includes glial cells, typically between about 1% to about 3% astrocytes. At least some of the differentiated neurons in the cell culture are synaptically active. Typically, at least about 90%, more typically at least about 95% of the cells in the culture are synaptically active differentiated neurons (e.g., dopaminergic and/or serotonergic neurons).

Another aspect of the invention provides a cell culture that includes cells transfected with *Nurr1*. Typically, the differentiated transfected cell culture includes at least about 50%, more preferably at least about 65%, most preferably at least about 95% neurons. Of the neurons in the cell culture, typically between at least about 5%, more typically at least about 25%, and most preferably at least about 80%

are TH+ cells such as dopaminergic neurons. The cell culture also includes glial cells, typically between about 5% to about 50% astrocytes. At least some of the differentiated neurons in the cell culture are synaptically active. Typically, at least about 10%, more typically at least about 80% of the cells in the culture are synaptically active differentiated neurons (e.g., dopaminergic and/or serotonergic neurons). The transfected cells typically release about 1 ng/ml to about 500 ng/ml dopamine per cell, more typically about 10 ng/ml to about 200 ng/ml, most typically about 100 ng/ml to about 150 ng/ml dopamine per cell, for example, by KCl-evoked dopamine release.

#### F. Disorders of the Central Nervous System

The present method can be employed to deliver agents to the brain for diagnosis, treatment or prevention of disorders or diseases of the CNS, brain, and/or spinal cord. These disorders can be neurologic or psychiatric disorders. These disorders or diseases include brain diseases such as Alzheimer's disease, Parkinson's disease, Lewy body dementia, multiple sclerosis, epilepsy, cerebellar ataxia, progressive supranuclear palsy, amyotrophic lateral sclerosis, affective disorders, anxiety disorders, obsessive compulsive disorders, personality disorders, attention deficit disorder, attention deficit hyperactivity disorder, Tourette Syndrome, Tay Sachs, Nieman Pick, and other lipid storage and genetic brain diseases and/or schizophrenia. The method can also be employed in subjects suffering from or at risk for nerve damage from cerebrovascular disorders such as stroke in the brain or spinal cord, from CNS infections including meningitis and HIV, from tumors of the brain and spinal cord, or from a prion disease. The method can also be employed to deliver agents to counter CNS disorders resulting from ordinary aging (e.g., anosmia or loss of the general chemical sense), brain injury, or spinal cord injury.

The present method can be employed to deliver agents to the brain for diagnosis, treatment or prevention of neurodegenerative disorders. Sublingual, conjunctival or transdermal administration of an agent to peripheral nerve cells of the trigeminal and other sensory neural pathways innervating the skin or the conjunctival or oral mucosa, purported entryway for causative agents of brain diseases, can help protect against disease in these nerve cells and regenerate injured nerve cells, thereby forestalling the subsequent spread of disease to susceptible areas of the CNS, brain, and/or spinal cord.

The application of an agent to the sublingual, conjunctival, or facial epithelium can also help prevent the spread of certain CNS, brain, and/or spinal cord disorders by directly treating peripheral cells and neurons that are injured by neurotoxins and other insults. Prophylactic treatment of these outlying nerve cells

helps preclude the entrance of disease-causing agents into the CNS, brain, and/or spinal cord. This method of treatment is particularly beneficial in cases of Alzheimer's disease where an environmental factor is suspected of being one of the causative agents of the disease. Application of an agent to the sensory neurons also  
5 in part treats or prevents the loss of smell or of the general chemical sense which may be associated with neurodegenerative diseases and ordinary aging.

Treatment of Parkinson's disease may also be an important application of the present delivery method since the trigeminal nerve pathway can deliver neurotrophins and other therapeutic agents from the oral cavity, conjunctiva, or skin  
10 to the pons in the brain stem. The principal therapeutic target in the brain for Parkinson's is the substantia nigra which extends forward over the dorsal surface of the basis peduncle from the rostral border of the pons toward the subthalamic nucleus. Other therapeutic target areas are the locus ceruleus which is located in the rostral pons region and the ventral tegmental area which is located dorsomedial to  
15 the substantia nigra.

The method of the present invention may be used with any mammal. Exemplary mammals include, but are not limited to rats, cats, dogs, horses, cows, sheep, pigs, and more preferably humans.

## 20 G. Methods of Use

In another embodiment, the invention provides a method of treating a patient suffering from a neurological disorder, such as a central nervous system disorder, or alleviating the symptoms of such a disorder, by administering cells cultured according to the method of the invention to the patient's brain. Examples of  
25 neurological disorders include Parkinson's disease, Huntington's disease, Alzheimer's disease, severe seizure disorders including epilepsy, familial dysautonomia as well as injury or trauma to the nervous system, such as neurotoxic injury or disorders of mood and behavior such as addiction and schizophrenia.

In this method of the invention, cells are cultured as described above to form  
30 differentiated neuronal cells which are then transplanted into the brain of a patient in need thereof.

### 1. Formulations

After the differentiated neuronal cells are formed according to the cell  
35 culturing method previously described, the cells are suspended in a physiologically compatible carrier. As used herein, the term "physiologically compatible carrier" refers to a carrier that is compatible with the other ingredients of the formulation and not deleterious to the recipient thereof. Those of skill in the art are familiar with



physiologically compatible carriers. Examples of suitable carriers include cell culture medium (e.g., Eagle's minimal essential media), phosphate buffered saline, and Hank's balanced salt solution +/- glucose (HBSS).

5 The volume of cell suspension administered to a patient will vary depending on the site of implantation, treatment goal and amount of cells in solution. Typically the amount of cells administered to a patient will be a "therapeutically effective amount." As used herein, a therapeutically effective amount refers to the number of transplanted cells which are required to effect treatment of the particular disorder. For example, where the treatment is for Parkinson's disease, transplantation of a  
10 therapeutically effective amount of cells will typically produce a reduction in the amount and/or severity of the symptoms associated with that disorder, e.g., rigidity, akinesia and gait disorder.

It is estimated that a severe Parkinson's patient will need at least about 100,000 surviving dopamine cells per grafted side to have a substantial beneficial  
15 effect from the transplantation. As cell survival is low in brain tissue transplantation in general (5 – 10%) an estimated 1 – 4 million dopaminergic neurons should be transplanted.

## 2. Methods of administration

20 According to the invention, the cells are administered to the patient's brain. The cells may be implanted within the parenchyma of the brain, in the space containing cerebrospinal fluids, such as the sub-arachnoid space or ventricles, or exte neurally. As used herein, the term "extraneurally" is intended to indicate regions of the patient which are not within the central nervous system or peripheral nervous  
25 system, such as the celiac ganglion or sciatic nerve. "Central nervous system" is meant to include all structures within the dura mater.

Typically, the neuronal cells are administered by injection into the brain of the patient. Injections can generally be made with a sterilized syringe having an 18-  
30 21 gauge needle. Although the exact size needle will depend on the species being treated, the needle should not be bigger than 1 mm diameter in any species. Those of skill in the art are familiar with techniques for administering cells to the brain of a patient.

## 3. Diseases

### 35 a. *Parkinson's Disease*

Parkinson's disease (PD) is characterized by the progressive loss in function of dopaminergic neurons. The progressive loss of dopaminergic function interferes with the normal working of the neuronal circuitry necessary for motor control so that

patients with PD show characteristic motor disturbances such as akinesia, rigidity and rest tremor. Other symptoms include pain, impaired olfaction, alterations of personality and depression. Quinn et al., (1997) Baillieres Clin. Neurol. 6:1-13.

According to the invention, dopaminergic neuronal cells are generated using the cell culturing method described above. The dopaminergic cells are then administered to the brain of the patient in need thereof to produce dopamine and restore behavioral deficits in the patient. Preferably, the cells are administered to the basal ganglia of the patient.

*b. Alzheimer's disease*

Alzheimer's disease involves a deficit in cholinergic cells in the nucleus basalis. Thus, a subject having Alzheimer's disease may be treated by administering cells cultured according to the method of the invention that are capable of producing acetylcholine.

*c. Huntington's disease*

Huntington's disease involves a gross wasting of the head of the caudate nucleus and putamen, usually accompanied by moderate disease of the gyrus. A subject suffering from Huntington's disease can be treated by implanting cells cultured according to the method of the invention that are capable of producing the neurotransmitters gamma amino butyric acid (GABA), acetylcholine, or a mixture thereof.

**4. Gene Therapy**

In an additional embodiment of the invention, the cultured cells may be transfected with a nucleic acid which encodes a neurologically relevant polypeptide. The term "neurologically relevant peptide" generally refers to a peptide or protein which catalyzes a reaction within the tissues of the central nervous system. Such peptides may be naturally occurring neural peptides, proteins or enzymes, or may be peptide or protein fragments which have therapeutic activity within the central nervous system.

According to this aspect of the invention, precursor cells are cultured *in vitro* as described above and an exogenous gene encoding a desired gene product is introduced into the cells, for example, by transfection. The transfected cultured cells can then be administered to a patient with a neurological disorder.

*a. Genes of interest*

Examples of neurologically relevant peptides include neural growth factors and enzymes used to catalyze the production of important neurochemicals or their intermediates. The peptide encoded by the nucleic acid may be exogenous to the host or endogenous. For example, an endogenous gene that supplements or replaces deficient production of a peptide by the tissue of the host wherein such deficiency is a cause of the symptoms of a particular disorder. In this case, the cell lines act as an artificial source of the peptide. Alternatively, the peptide may be an enzyme which catalyzes the production of a therapeutic or neurologically relevant compound. Again, such compounds may be exogenous to the patient's system or may be an endogenous compound whose synthetic pathway is otherwise impaired. Examples of neurologically relevant compounds include tyrosine hydroxylase, nerve growth factor (NGF), brain derived neurotrophic factor (BDNF), basic fibroblast growth factor (bFGF) and glial cell line derived neurotrophic factor (GDNF).

*b. Gene Constructs*

Typically the gene of interest is cloned into an expression vector. As used herein, the term "expression vector" refers to a vector which (due to the presence of appropriate transcriptional and/or translational control sequences) is capable of expressing a DNA molecule which has been cloned into the vector and of thereby producing a polypeptide or protein. A nucleic acid molecule, such as DNA, is said to be "capable of expressing" a polypeptide if it contains nucleotide sequences which contain transcriptional and translational regulatory information and such sequences are "operably linked" to a nucleotide sequence that encodes the polypeptide. An operable linkage is a linkage in which the regulatory DNA sequences and the DNA sequence sought to be expressed are connected in such a way as to permit gene expression. Regulatory elements include elements such as a promoter, an initiation codon, a stop codon and a polyadenylation signal.

Expression of the cloned sequences occurs when the expression vector is introduced into an appropriate host cell. In this case, the preferred host cell is a ES Cell that, upon differentiation, generates neuronal cell. Procedures for preparing expression vectors are known to those of skill in the art and can be found in Sambrook et al., Molecular Cloning: A Laboratory Manual, 2nd Ed., Cold Spring Harbor Press, Cold Spring Harbor, N.Y. (1989).

**5. Genetically modified cells**

ES cells are receptive to genetic modification. Thus, ES cells can be genetically modified before transplantation to enhance therapy. For example, the cells can be genetically engineered to decrease rejection, for example, the

immunogenicity of the cell may be suppressed by deleting genes that produce proteins that are recognized as "foreign" by the host, or by introducing genes which produce proteins, such as proteins that are native to the host and recognized as "self" proteins by the host immune system. Alternately, the ES cells can be engineered to  
5 increase survival by introducing genes that produce growth factors that promote survival of neural cells, such as neurotrophins NT-3, NT-4/5, BDNF and NGF.

#### H. Assay

Another aspect of the invention provides an assay for evaluating the effect of  
10 substances on differentiated cells, preferably differentiated neuronal cells. The assay can be used to develop drugs capable of regulating the survival, proliferation or genesis of neuronal cells. The assay can also be used to screen for antagonists and/or agonists of dopamine or serotonin. According to this aspect of the invention, a population of neuronal cells is produced by the cell culturing method described  
15 above. The population of cells is contacted with a substance of interest and the effect on the cell population is monitored. The impact on the cell population can be monitored, for example, by determining whether the substance causes an increase or decrease in the expression of a reporter gene by examining the level of its protein, RNA, biological activity or other methods. For example, in one  
20 immunocytochemical method, the dopaminergic cells are monitored to determine the impact of a substance on the expression of tyrosine hydroxylase.

Substances of interest include extracts from tissues or cells, conditioned media from primary cells or cell lines, polypeptides whether naturally occurring or recombinant, nucleotides (DNA or RNA) and non-protein molecules whether  
25 naturally occurring or chemically synthesized.

The cell culture can also be used to studying the mechanism of neurotransmitter synthesis and release, particularly for serotonin and dopamine, neuron cell survival, and the electrophysiochemical properties of differentiated neuronal cells (such as serotonergic and dopaminergic cells).

30 The cell culture can also be used to evaluate the role of various genes in differentiated neuron cells. For example, a specific gene (for example, the patched receptor gene for SHH) may be knocked out in an ES cell. Methods for producing knock out variants are known. The knocked out ES cell (for example, a homozygous null mutant) can be cultured to form differentiated neuronal cells  
35 according to the above-described method. The culture of differentiated neuronal cells can then be used to examine the function of the knocked out gene.

### **Working Examples**

#### **Example 1. Culturing embryonic stem (ES) cells.**

The present invention provides a method for generating midbrain neurons from ES cells. The method of the invention is a modification of the method described by Okabe et al., (1996) "Development of neuronal precursor cells and functional postmitotic neurons from embryonic stem cells in vitro," *Mech. Dev.* 59:89-102. The modifications result in the production of dopaminergic neurons rather than GABAergic and glutamergic neurons. Figure 7 compares the amount of TH+ cells and TUJ1+cells obtained by the method of the invention compared to the method of Okabe et al.

Undifferentiated embryonic stem (ES) cells (R1, E14.1 and B5, obtained from Dr. Heimer Westphal, NIH, Bethesda, Maryland, and Dr. Tom Doetschman, University of Cincinnati, Cincinnati, Ohio, were cultured essentially as described by Okabe et al., (1996) "Development of neuronal precursor cells and functional postmitotic neurons from embryonic stem cells in vitro," *Mech. Dev.* 59:89-102, with some modifications.

Briefly, undifferentiated ES cells were grown for 6 days at 37°C under 5% CO<sub>2</sub> on gelatin coated tissue culture plates (0.1% gelatin, commercially available from Sigma under the brand name Falcon) and in the presence of 1400 units/ml of leukemia inhibitory factor (LIF, GIBCO/BRL, Grand Island NY). The medium was changed daily.

The LIF was prepared by combining 1.4 ml of a stock solution with 10 ml medium and was included to prevent differentiation.

100 ml ES cell medium was prepared by combining 82 ml knock out DMEM medium (GIBCO/BRL) supplemented with 15 ml (15%) fetal calf serum (FCS; ES cell qualified; Gibco BRL 16141-661), 1 ml (100 µM) minimal essential medium (MEM; Gibco BRL 11140-050), 0.1 ml (0.5 µM) 2-mercaptoethanol (Gibco BRL 21985-023), 1 ml L-glutamine (Gibco BRL), and 1 ml antibiotics (streptomycin and penicillin).

#### **Example 2. Embryoid bodies formation**

In the method by Okabe et al., EB formation was initiated from clusters of undifferentiated ES cells without dissociating them to form a population of single cells. In contrast, in this example, the clusters of undifferentiated ES cells are dissociated into a population of single cells. The EB are then formed from the individual cells.

Briefly, to induce EB formation (stage 2), the cells from stage 1 were dissociated into single cells by adding a solution containing 0.05% trypsin and

0.04% ethylene diaminetetraacetate (EDTA) in phosphate buffered saline (PBS) to the culture dishes for 5 minutes. After the cells were dissociated, they were plated, using a pipet, onto non-adherent bacterial culture dishes (commercially available from Falcon) at a density of  $1.5-2 \times 10^6$  cells/10 cm<sup>2</sup> dish and incubated for 4 days in the ES media described above. The medium was changed every 2 days.

When the incubation was complete, the cells were transferred to 15 ml test tube and the cells were allowed to settled to the base of the tube. Once the cells settled, the medium was removed and replaced with fresh ES medium. The cells were then transferred to tissue culture plates and incubated for 24 hours (overnight) at 37°C in 5% CO<sub>2</sub> incubator.

Forming the EB from individual ES cells results in a 3.5 fold increase in the yield of nestin positive cells. (6.4% nestin+ cells/ES cells were generated with this procedure). Moreover, the method in this example generates more tyrosine hydroxylase+ (TH, a marker for dopaminergic neurons) neurons and TUJ1+ (general marker for neurons) neurons per nestin+ cell after stage 5. Finally, 6.0 fold and 4.2 fold more TH+ and TUJ1+ neurons per undifferentiated cell, respectively, were generated by this method.

#### **Example 3. Cell Selection Process: Selection of Nestin+ cells**

After the cells were cultured for 24 hours, selection of nestin+ cells was initiated. Briefly, selection of nestin+ cells (stage 3) was initiated by replacing the ES cell medium by serum-free ITSFn medium. The cells were then incubated in the ITSFn medium for 6-10 days, changing the medium every 2 days.

The ITSFn medium contained DMEM and F12 (commercially available from Life Tech) in a 1:1 ratio; 5 µg/ml insulin 30 nM selenium chloride; 50 µg/ml transferrin; 5 µg/ml fibronectin. The fibronectin was added separately when the medium was changed. The fibronectin solution was prepared by combining 50 µl of 1 mg/ml stock with 10 ml medium.

#### **Example 4. Expansion of Nestin+ cells**

After 6 days of selection, cell expansion (stage 4) was initiated, using a modification of Okabe et al., using N2 medium instead of N3FL medium.

Specifically, the cells were dissociated by adding a solution of 0.05% trypsin and 0.04% EDTA to the plates and incubating at 37°C for 5 minutes. The dissociated cells were plated on tissue culture plastic or glass coverslips at a concentration of  $1.5-2 \times 10^6$  cm<sup>2</sup> in serum free N2 medium supplemented with 1 µg/ml of laminin and 10 ng/ml of basic fibroblast growth factor (bFGF, R&D Systems, Minneapolis, MN). The medium was also supplemented with murine aminoterminal fragment

SHH (500ng/ml); murine FGF8 isoform b (100 ng/ml, both from R& D System); and ascorbic acid (200  $\mu$ M, Sigma). Control cultures were treated identically except that no SHH or FGF8 was applied during cell proliferation.

The N2 medium was prepared according to Bottenstein et al., (1979)

- 5 "Growth of a rat neuroblastoma cell line in serum-free supplemented medium," *Proc.Natl.Acad.Sci.U.S.A.* 76:514-517 with the modifications of Johe et al., (1996) "Single factors direct the differentiation of stem cells from the fetal and adult central nervous system," *Genes and Development* 10:3129-3140.

- 10 Prior to cell plating, dishes and coverslips were precoated with polyornithine (15 $\mu$ g/ml) and laminin (1 $\mu$ g/ml, both from Becton Dickinson Labware, Bedford, MA).

The cells were proliferated for 6-7 days and the medium was changed every two days.

15 **Example 5. Generation of dopaminergic neurons: differentiation to TH+ neuron**

- Differentiation (stage 5) was induced using a modification of Okabe et al., using N2 medium instead of N3FL medium. Differentiation was induced by withdrawing the mitogen bFGF from the medium and maintaining the cells serum-free N2 medium supplemented with laminin (1 $\mu$ g/ml) for 5-6 days (stage 5 cells, Figure 1) (i.e., the differentiation medium contained no bFGF, no SHH, and no FGF8 but was supplemented with 1 $\mu$ g/ml laminin).

- 20 Combined treatment with SHH/FGF8 during stage 4 (expansion, Figure 1) resulted in about a 2.3 fold increase in the number of TH+ cells (15.4 $\pm$ 2.4% of the TUJ1+ neurons; n>40, p<0.001). However, the same treatment during stage 5 (differentiation) of culture proved ineffective (Figure 4)

**Example 6. Comparison of N2 and N3FL media**

- 30 The use of N2 medium resulted in a 4.8 and 13.2 fold increase in the number of total cells and TUJ1+ neuronal cells, respectively, in culture after 6 days of differentiation. While 4.1% of TUJ1+ neurons were TH+ in cultures grown in N2 medium, no TH+ cells were detected in cultures grown in N3FL media.

- Since the composition of N2 and N3FL media is relatively similar (Table 1, below), this experiment was performed to determine which of the media component(s) most influence the composition of the resulting cell population.

35 Variation of transferrin, glucose and glutamine concentrations in the medium did not significantly affect the phenotype of the ES cell derived population, however, substitution of bicarbonate (N2 medium) by HEPES (N3FL) medium

dramatically reduced the percentage of TUJ1 and TH+ cells. See Figure 8. Thus, we conclude that HEPES present in N3FL medium reduces the amount of TH+ cells in the culture.

5 **Table 1. Composition of N2 and N3FL media (per 500 ml)**

	N2	N3FL
DMEM/F12	6 g	6 g
Glucose	0.775 g	—
Glutamine	0.0365 g	—
Insulin	12.5 mg	12.5 mg
Transferrin	50 mg	25 mg
Putresine	100 $\mu$ M	100 $\mu$ M
Selenite	30 nM	30 nM
Progesterone	20 nM	20 nM
NaHCO <sub>3</sub>	0.845 g	—
HEPES	—	1.95 g
Streptomycin/ Penicillin	5 ml	5 ml

Using N2 media, the percentage of TUJ1+ cells was  $71.9 \pm 6.9\%$  of the total cell population. Without growth factor treatment (SHH and FGF8 during stage 4 and AA during stage 5)  $6.9 \pm 1.5\%$  of all TUJ1 cells were TH+. Treatment of ES  
 10 cells with the growth factors dramatically increased the percentage of TH+ cells to  $33.9 \pm 5.5\%$ .

**Example 7. Immunohistochemical identification (TH or TUJ1)**

The cell morphology and phenotype of the cells from Example 6 were  
 15 analyzed using immunocytochemistry. Although TH immunoreactivity is commonly used for the identification of midbrain dopaminergic neurons, TH is also expressed in other cells, such as peripheral nervous system (PNS) neurons, noradrenergic neurons, adrenergic neurons, and striatal progenitors that transiently co-express TH in inhibitory GABAergic cells during development. Therefore, to  
 20 further characterize the ES derived cell population, double immunohistochemistry analysis was performed for TH/dopamine- $\beta$  hydroxylase (DBH), a marker of noradrenergic neurons and for TH/GABA and TH/Serotonin. No coexpression of TH with any of these markers was observed suggesting that the cells are dopaminergic neurons. Furthermore, the ES derived cells exhibited typical morphological  
 25 characteristics of catecholaminergic neurons: they were mostly bipolar in shape with numerous varicosities along the neurites and often arranged in clusters of TH cells.

To perform the immunohistochemical analysis, the following primary antibodies were used (dilutions were performed using dilution with phosphate buffered saline (PBS) containing 0.1% bovine serum albumin (BSA) and 10%  
 30 Normal Goat Serum (NGS)): tyrosine hydroxylase (TH) polyclonal antibody, diluted



1:200 to 1:500 (P40101, Pel-Freeze, Rogers, AR) or TH monoclonal diluted 1:1000 (Sigma);  $\beta$ -tubulin type III (TUBJ1) monoclonal, diluted 1:500 (MMS-435P, Babco, Richmond, CA); gamma-aminobutyric acid (GABA) polyclonal 1:100 (Sigma, St. Louis, MO); dopamine- $\beta$ -hydroxylase (DBH) 1:100 (Protos Biotech Corp, NY, NY) or DBH 1:100 (Pharmingen, San Diego, CA); and serotonin polyclonal 1:2000 (Sigma, St. Louis, MO).

For detection of primary antibodies, the following fluorescently labeled secondary antibodies were used for TH staining and TUBJ1 staining: biotinylated anti-rabbit IgG, 1:200 dilution (Vector, goat); and biotinylated anti-mouse IgG, 1:200 dilution (Vector, goat), respectively, according to the methods recommended by the manufacturer.

Immunocytochemistry was carried out utilizing standard protocols. Briefly, the cells were fixed for 20 min in phosphate buffered saline (PBS) containing 4% paraformaldehyde and 0.15% picric acid and then washed three times, for 5 minutes each wash, in phosphate buffered saline (PBS) containing 0.1% bovine serum albumin (BSA). After the third wash, the cells were combined with a blocking solution. The blocking solution contained PBS, 0.1% BSA, 10% normal goat serum (NGS) and 0.3% triton X-100. After blocking, primary antibody was applied and the cells were incubated in a cold room (4°C) overnight, shaking at a speed of about 10-20 rpm. The cells were then washed again, three times, for five minutes each wash, in the same PBS/BSA solution described above. After the third wash, the secondary antibody was applied and the cells were incubated at room temperature for 45 minutes. After incubation with the secondary antibodies, the cells were washed three times, as described above, and a peroxidase solution (Vectastain® ABC kit) was applied. After a 45 minute incubation, the cells were washed three times and diaminobenzidine (DAB) solution was applied for 3-5 min.

Immunohistochemical analyses of the differentiated cultures revealed the presence of large numbers of neurons displaying  $\beta$ -tubulin III (TUBJ1) in both control and SHH/FGF/KCl treated cells (data not shown). However, there was a dramatic difference between treated and control cultures in the percentage of specific neurons expressing tyrosine-hydroxylase (TH). The percentage of neurons expressing TUBJ1 was 71.9 % $\pm$  6.0. The percentage of TUBJ1 cells expressing TH was 6.9% $\pm$ 1.5% (these numbers are the average of 3 independent experiments, n>40).

Uniform random sampling procedure were used for cell counts and quantified using the fractionator technique (Gundersen et al., (1988) "Some new, simple and efficient stereological methods and their use in pathological research and diagnosis," *APIMS* 96:379-394). Statistical comparisons were made by ANOVA with posthoc Dunnett test when more than 2 groups were involved. If data were not

normally distributed, a non-parametric test (Mann-Whitney U) was used for the comparison of results. Data expressed as mean  $\pm$  SEM.

As shown in figure 4, SHH, FGF8, cAMP, and ascorbic acid increase the yield of TH<sup>+</sup> neurons in ES cell cultures. Yield of TH<sup>+</sup> neurons is expressed as a percentage of all TUJ1<sup>+</sup> neurons. SHH (500ng/ml), FGF8 (100 ng/ml), cAMP (1mM), and ascorbic acid (200  $\mu$ M) were added at different stages of ES cell development, as shown; and (C) combined treatment with SHH, FGF8 and ascorbic acid results in 5 fold increase in the number of TH<sup>+</sup> cells over the untreated controls. Fluorescence staining was carried out with a TH polyclonal antibody and cyanine Cy2-labeled secondary antibody.

As shown in figure 5, TH<sup>+</sup> cells do not co-express DBH, GABA, and serotonin. Double staining was carried out with TH (polyclonal), DBH (monoclonal), GABA (monoclonal), and serotonin (monoclonal) primary antibodies, and cyanine Cy3 (TH) and cyanine Cy2 (DBH, GABA, serotonin)-labeled secondary antibodies; Treatment with SHH, FGF8 and ascorbic acid greatly promotes maturation of dopaminergic neurons as measured by increase in KCl-evoked dopamine release. The rpHPLC determination of dopamine concentration in 48 h conditioned N2 medium, in physiological solution (HBSS; 15 min), and in HBSS+56mM KCl (15 min) is shown. The lower panel shows a typical chromatogram for dopamine elution from the rpHPLC.

#### **Example 8. Reverse Phase High Performance Liquid Chromatography**

Another measure of dopamine neuron identity is the production of dopamine. Reverse phase high performance liquid chromatography (RP-HPLC) was used to determine whether the ES derived cells secrete significant levels of dopamine.

Dopamine levels in the culture media of the differentiated ES cells were determined after 6 days of differentiation in the conditioned medium (48 hours after medium change), in HBSS (basal release, 15 min. incubation), and in HBSS containing 56 mM KCl (evoked release, 15 min incubation). Culture supernatants, HBSS and HBSS +56 mM KCl were collected, immediately stabilized with orthophosphoric acid (7.5%)/metabisulfate (0.22 mg/ml), and stored at -80°C until analysis.

Aluminum absorption, equipment and HPLC analysis of dopamine have been described previously (Studer et al., (1998) "Transplantation of expanded mesencephalic precursors leads to recovery in parkinsonian rats," *Nature Neurosci.* 1:290-295; and Studer et al., (1996) "Non-invasive dopamine determination by reversed phase HPLC in the medium of free-floating roller tube cultures of rat fetal ventral mesencephalon. A tool to assess dopaminergic tissue prior to grafting,"

*Brain Res. Bull.* 41:143-150). Results were normalized against dopamine standards at varying flow rates and sensitivities.

When the control medium was subsequently evaluated by RP-HPLC, 231.8±34.2 pg/ml of dopamine was present. The dopamine levels of the medium  
5 treated with HBSS measured 165.7±23.4 pg/ml (the growth factor treated culture was not significantly different). The dopamine level in the cell culture treated with SHH/FGF8/AA was over 2 fold higher (n=3, p<0.05). See Figure 5.

In the control cultures, 416.6±72.0 pg/ml dopamine was released. In the growth factor treated cultures the dopamine level increased 6-fold over the  
10 appropriate control to 918.4±123.2 pg/ml

It is believed that treating the culture was with elevated potassium for 15 min causes an increase in dopamine release due to depolarization of the cellular membrane.

#### 15 **Example 9. Generation of Serotonergic neurons**

In addition to its role in the differentiation of dopaminergic neurons, SHH is also important for the generation of hindbrain serotonergic neurons. To test whether growth factors SHH and FGF8 increase the yield of serotonergic neurons in an ES culture system, control and SHH/FGF8 treated cultures were subjected to double  
20 immunohistochemistry for serotonin and TH (Figure 6) using a method similar to that described in Example 7 using TH monoclonal antibody (Sigma) and serotonin polyclonal antibody (Sigma).

In the untreated cultures (i.e., no SHH or FGF8), 0.8±0.1% (n>40) of all TUJ1 neurons stained positive for serotonin. In cultures treated with SHH/FGF8  
25 during stage 4 (expansion) the serotonergic population increased 14-fold (11.0±0.5%, n>40, p<0.01 of all TUJ1+ cells).

Interestingly, application of SHH in the absence of exogenous FGF8 promoted serotonergic fates to an extent similar to that of the combined treatment (SHH and FGF8) (Figure 6). These results suggest that FGF8 might be required for  
30 specification of some, but not all the types of serotonergic neurons. The efficient induction of serotonergic neurons suggests that the differentiation conditions developed to promote midbrain dopaminergic fates also promote hindbrain serotonergic fates. Our findings suggest that almost half of the neurons can adopt a ventral mid/hindbrain fate under this protocol.

35 FIG.9 is a bar graph showing that SHH and FGF8 promote generation of serotonergic neurons. (A) SHH (500 ng/ml), and FGF8 (100 ng/ml) increase the yield of serotonergic neurons over the untreated controls. TH and serotonin are not co-expressed by the same cells; and (B) SHH alone promotes serotonergic fate to

the extent similar to that of the combined treatment. Yield of serotonin+ neurons is expressed as a percentage of all TUJ1+ neurons.

#### **Example 10. Protein Expression**

5        The developmental progression of ES cells was investigated by examining the appearance of CNS and dopaminergic specific regulatory gene products (using RT-PCR) at different stages of ES cell development.

To analyze relative expression of different mRNAs, the amount of cDNA was normalized based on the signal from ubiquitously expressed actin mRNA.

10      Levels of neural mRNAs at different stages of ES cell culture was compared to that in the undifferentiated ES cells.

##### **A.     Cell Isolation**

15      Cells were isolated from the culture on the last day of the various stages (stages 1-5 in Figure 1) of the process described in Examples 1-6. Cell isolation methods are known to those of skill in the art and may vary depending on the stage.

##### **B.     Cell Preparation**

20      After the cells were isolated, the cells were prepared using known protocols. The precise method varied depending on the stage. For example, EBs (stage 2) were harvested by centrifugation and then lysed for RNA. The cells from stages 3, 4 and 5 were lysed directly on the tissue culture plates.

##### **C.     RNA Preparation**

25      Total cellular RNA was prepared using RNeasy total RNA purification kit (Qiagen, Valencia, CA) following the manufacturer's instructions. The total cellular RNA was then treated with RNase-free RQ DNase (Promega Corp., Madison, WI) to remove traces of DNA.

##### **D.     cDNA Preparation**

30      The cDNA synthesis was carried out using Moloney murine leukemia virus (M-MLV) Superscript II reverse transcriptase (GIBCO/BRL) following the manufacturer's instructions. Random hexamer primers (GIBCO/BRL) were used to prime reverse transcriptase (RT) reactions. Using this method it was possible to use  
35      the same RT reaction (cDNA) for PCR amplification with different set of gene-specific primers.

### E. PCR Amplification

The PCR was carried out using standard protocols with Taq polymerase (Boehringer-Mannheim, Indianapolis, IN). Cycling parameters were as follows: denaturation at 94°C for 30 sec, annealing at 58-61°C for 1 minute depending on the primer, and elongation at 72°C for 1 minute. The number of cycles varied between 25 and 35, depending on the particular mRNA abundance. The number of cycles and the amount of cDNA was chosen in such a way as to select PCR conditions on the linear portion of the reaction curve avoiding "saturation effects" of PCR. Primer sequences and the length of the amplified products were as follows (forward primer is shown on top; and reverse primer is shown on bottom):

- actin (569): ATG GAT GAC GAT ATC GCT G (SEQ. ID. NO: 1)  
ATG AGG TAG TCT GTC AGG T (SEQ. ID. NO: 2)
- 15 Nestin(327): GGA GTG TCG CTT AGA GGT GC (SEQ. ID. NO: 3)  
TCC AGA AAG CCA AGA GAA GC (SEQ. ID. NO: 4)
- Nurr1(255): TGA AGA GAG CGG AGA AGG AGA TC (SEQ. ID. NO: 5)  
TCT GGA GTT AAG AAA TCG GAG CTG (SEQ. ID. NO: 6)
- 20 Gli1(462): TCC ACA GGC ATA CAG GAT CA (SEQ. ID. NO: 7)  
TGC AAC CTT CTT GCT CAC AC (SEQ. ID. NO: 8)
- Smo(370): CTG AGA GTG CCA GAA AAG GG (SEQ. ID. NO: 9)  
25 TCA TCA TGC TGG AGA ACT CG (SEQ. ID. NO: 10)
- Ptc(272): CCT CCT TTA CGG TGG ACA AA (SEQ. ID. NO: 11)  
ATC AAC TCC TCC TGC CAA TG (SEQ. ID. NO: 12)
- 30 Wnt1(462): ACC TGT TGA CGG ATT CCA AG (SEQ. ID. NO: 13)  
TCA TGA GGA AGC GTA GGT CC (SEQ. ID. NO: 14)
- Otx1(425): GCT GTT CGC AAA GAC TCG CTA C (SEQ. ID. NO: 15)  
ATG GCT CTG GCA CTG ATA CGG ATG (SEQ. ID. NO: 16)
- 35 Otx2(211): CCA TGA CCT ATA CTC AGG CTT CAG G (SEQ. ID. NO: 17)  
GAA GCT CCA TAT CCC TGG GTG GAA AG (SEQ. ID. NO: 18)

- Pax2(545): CCA AAG TGG TGG ACA AGA TTG CC (SEQ. ID. NO: 19)  
GGG ATA GGA AGG ACG CTC AAA GAC (SEQ. ID. NO: 20)
- 5 Pax 5(451): CAG ATG TAG TCC GCC AAA GGA TAG (SEQ. ID. NO: 21)  
ATG CCA CTG ATG GAG TAT GAG GAG CC (SEQ. ID. NO: 22)
- FGFR3(326): ATC CTC GGG AGA TGA CGA AGA C (SEQ. ID. NO: 23)  
GGA TGC TGC CAA ACT TGT TCT C (SEQ. ID. NO: 24)
- 10 fgf8(312): CAT GTG AGG GAC CAG AGC C (SEQ. ID. NO: 25)  
GTA GTT GTT CTC CAG CAG GAT C (SEQ. ID. NO: 26)
- En1(381): TCA AGA CTG ACT CAC AGC AAC CCC (SEQ. ID. NO: 27)  
CTT TGT CCT GAA CCG TGG TGG TAG (SEQ. ID. NO: 28)
- 15 Shh(354): GGA AGA TCA CAA GAA ACT CCG AAC (SEQ. ID. NO: 29)  
GGA TGC GAG CTT TGG ATT CAT AG (SEQ. ID. NO: 30)

### Results

20 Although generally associated with CNS stem cells, both nestin and Otx2 signals were present in the undifferentiated ES cell cultures, probably the result of heterogeneity in the ES cell cultures wherein some cells expressing genes characteristic of CNS stem cells are present in the culture.

The SHH receptors smoothened (smo), patched (ptc) and the downstream mediator Gli1 were expressed during ES cell culture. Smo, ptc and Gli1 were also  
25 constitutively expressed in differentiating ES cells from early stages.

Expression of SHH and FGF8 as well receptor FGFR3 appeared only during stage 3 of ES cell culture.

The intermediate filament protein nestin and homeobox gene Otx2 were  
30 expressed before the Otx2 homologue Otx1 (Figure 2). Expression of early paired-domain transcription factors Pax-2 and Pax-5 and the secreted factor Wnt1 precedes that of the homeodomain transcription factor engrailed 1 (En1). During the expansion stage, the ratio of Otx1:Otx2 shifts and En1 and FGF8 levels rise.

Figure 2 demonstrates that ES cells progressively acquire mesencephalic cell  
35 fate during development. Numbers at the top of the panel designate stage of culture defined in figure 1.

### Conclusion

The results indicate that at least some of the cells undergo a progressive commitment to CNS, mesencephalic and midbrain dopaminergic neuronal cell fates (Figure 2). The gene expression of the in vitro ES was similar to gene expression in the developing CNS, in vivo.

Although no TH expression was detected at stages 1-4 of ES cell culture, gene expression data suggest that the cultures contain precursors that may be primed for induction of TH but require time and appropriate conditions to express differentiated neuronal features.

Overall, the results of this analysis demonstrate that our multi-step ES cell culture protocol (stages 1-4, Figure 1) results in a progressive induction of a large number of genes that are expressed in the precursors for midbrain dopaminergic neurons.

### **Example 11: Synaptic Activity of Differentiated Cell Culture**

In this example, the synaptic activity of the differentiated neurons in the cell culture was examined. Previous experiments (data not shown) revealed that the differentiated neurons released dopamine when depolarized. This example demonstrates that sustained trains of action potentials, characteristic of mature neurons, were observed when the cells were depolarized (n=54). The cells respond to neurotransmitters (GABA/glutamate) and showed spontaneous synaptic activity that was blocked by inhibitors of action potentials. Biocytin labeling was used to show that many recorded neurons were dopaminergic.

Briefly, ES cells were differentiated as described above. After 13 days of differentiation, the cells were transferred to a recording medium (described below). A patch electrode was used to record electrical activity of individual neurons within the cell culture (and, alternately, to stimulate individual cells within the cell culture). A multiple electrode system was used so that the electrical activity of up to 3 cells could be recorded at one time. The recordings show that the cells in the culture are spontaneously active. The synaptic activity of the cells was examined by the application of tetrodotoxin (TTX). The presence of receptors for GABA and glutamate was evaluated by application of GABA and glutamate to the dendrites and monitoring the resulting electrical activity. Biocytin (a tracer) was used to label the cells that were monitored with the patch electrode. The cells were then fixed and evaluated for the presence of biocytin and TH to determine whether the synaptically active cells were dopaminergic cells.

More specifically, the differentiated cells were transferred to a recording medium containing 130 mM NaCl, 4 mM KCl, 2 mM CaCl<sub>2</sub>, 1 mM MgCl<sub>2</sub>, 10 mM

HEPES, 10 mM glucose (pH 7.35, 325 mOsm). Patch pipettes were filled with 110 mM K-Gluconate, 20 mM KCl 2 mM Mg-ATP, 10 mM Na<sub>2</sub>phosphocreatine, 1.0 mM EGTA, 0.3 mM GTP-Tris, and 20 mM HEPES (pH 7.25, 320 mOsm). Biocytin (0.2%) was added to the intracellular medium daily. Recordings were performed under visual guidance using a Zeiss Axioskop microscope (Zeiss, Germany). Cells were recorded in voltage clamp, holding potential -60 to -70 mV. Signals were amplified using an Axopatch 200B amplifier and data was acquired and analyzed on a PC using pClamp 8 (Axon Instruments, USA). Current clamp recordings were performed with a second amplifier (AxoClamp 2B, Axon Instruments, USA). Neurotransmitters (glutamate and GABA, 10 mM) were applied by pressure application (Picospritzer, General Valve).

As shown in FIG. 9A, the differentiated dopaminergic neurons (13 days) in the cell culture fire an initial action potential followed by a few others at low frequency upon depolarization. When the amount of depolarization is increased, the neurons fire a train of action potentials at a higher frequency. This is characteristic of mature neurons.

As shown in FIG. 9B, the dopaminergic neuron an inward current is apparent upon application of GABA to the dendrites of the differentiated neuron.

As shown in FIG. 9C, glutamate application to the dendrites of a differentiated dopaminergic neuron also leads to an inward current.

As shown in FIG. 9D, the spontaneous activity in differentiated dopaminergic neurons (recorded in voltage clamp mode) diminished when action potentials were blocked with tetrodotoxin (TTX, 1mM). TTX blocks almost all spontaneous activity indicating that most of the activity is due to synaptic release of transmitter, evoked by spontaneous action potential firing in presynaptic neurons.

### **Example 12: Generation of Midbrain Dopaminergic Neurons from *Nurr1*-Transduced Embryonic Stem Cells**

*Nurr1*, an orphan nuclear receptor, is associated with the induction of midbrain dopaminergic neurons during neurogenesis and for the maintenance of dopaminergic phenotype during adulthood. In this Example, totipotent mouse embryonic stem cells (ES) cells were transduced with *Nurr1*. Transduction with *Nurr1* increased differentiation of functional dopaminergic neurons.

#### **A. Construction of plasmid pCMV-*Nurr1***

Plasmid pCMV-*Nurr1* was constructed using the pCVM-Script® Vector from Stratagene via known methods.



B. Construction of pcDNA3.1-neomycin plasmid

The pcDNA3.1 neomycin plasmid was constructed using the pMc1-neo Vector from Stratagene via known methods.

5 C. Nurr1 Transfection

ES cells were cotransfected with a pCMV-*Nurr1* and pcDNA3.1-neomycin resistance plasmid via electroporation. Standard conditions were employed as described by Brigid Hogan et al., (1994) Manipulating the Mouse Embryo: A Laboratory Manual, (Second Edition), Cold Spring Harbor Laboratory Press.

10

D. Selection of *Nurr1*-transfected clones

The *Nurr1*-transfected clones were selected using standard conditions described by Brigid Hogan et al., (1994) Manipulating the Mouse Embryo: A Laboratory Manual, (Second Edition), Cold Spring Harbor Laboratory Press. A total of 27 stable *Nurr1*-transfected clones were selected by growth in the presence of neomycin (200 µg/ml).

15

E. *Nurr1* Expression

Overexpression of *Nurr1* was determined using an antibody against a tag incorporated into the expressed protein via known methods. All 27 clones overexpressed *Nurr1*. The three clones with the highest expression were chosen for further analysis.

20

F. Clonal Expansion

*Nurr1* positive cells were expanded using known methods to generate a culture of transfected undifferentiated cells.

25

G. *In vitro* differentiation

The *Nurr1*-transfected ES cells were differentiated, following the method described in Examples 1 through 5. Briefly, undifferentiated ES cells transfected with *Nurr1* were maintained on gelatin-coated dishes in knockout ES medium containing 15% ES-qualified serum with supplements (stage I). For differentiation, ES cells were dissociated into single cells, and cultured on nonadherent petri-dishes for 4 days in the presence of leukemia inhibitory factor (1,400 units/ml) to generate embryoid bodies (stage II). The embryoid bodies were then plated on adhesive tissue culture plates for 24 hours and transferred to serum-free ITS medium containing fibronectin for 10 days to select for neural precursor cells (stage III). These cells were dissociated and grown in N2 medium for 4 days on coverslips

30

35

which were coated with poly-L-ornithine (15/μg/ml)/fibronectin (1 μg/ml) in the presence of FGF2 (20 ng/ml), Shh (500 ng/ml) and FGF8 (100 ng/ml) (stage IV). FGF2 was removed to induce differentiation, and ascorbic acid (200 mM) was added to the medium (stage V) and the cells were cultured for an additional 8-12 days before characterization.

#### H. Immunocytochemical Analysis

Immunohistochemical staining was performed essentially as described in Example 7 using the following antibodies: TH polyclonal 1:400 (Pel-Freeze), TH monoclonal 1:1000 (Sigma) α-tubulin type III (TuJ1) monoclonal 1:500 (Babco), serotonin polyclonal 1:4000 (Sigma), DAT monoclonal 1:5000 (Chemicon), En-1 monoclonal 1:50 (Developmental Studies Hybridoma Bank, and fluorescently labeled secondary antibodies (Jackson Immunoresearch Laboratories).

Of the total cells in the differentiated population, 8.25% were TuJ1+, a specific marker for neurons. As shown in Figure 10A, in wild-type ES cells (non-transfected), 5.5% of TuJ1+ neurons were TH+. *Nurr1* overexpression increased the TH+ population by 10-fold (53.1% of TuJ1 neurons were TH+). At the same time, the proportion of serotonin+ neurons was not significantly changed. Shh and FGF8 have been previously shown to promote ventral midbrain fates in neural plate explant and wild-type ES cells. In our culture system, addition of Shh/FGF8 during stage IV increased the TH+ population from both wild-type and *Nurr1* transfected ES cells (22.3% of TuJ1 in wild-type; 78.6% of TuJ1+ in *Nurr1*-transfected ES cells). Treatment with Shh/FGF8 in other stages had no effect on population of TH+ cells.

#### I. Characterization of TH+ cells as Ventral Mesencephalic Dopaminergic Neurons

To confirm the phenotype of the differentiated TH+ neurons, three definitive characteristics for ventral mesencephalic dopaminergic neurons were examined.

##### i. *Engrailed* (En-1)

The homeobox transcription factor, *Engrailed* (En-1) has been known as a mediator of midbrain dopaminergic development. Gene expression continues into adulthood in substantia nigra. The differentiated neurons were examined for the presence of En-1 using standard procedures for immunocytochemistry.

Most (i.e., more than 70%) of the TH+ neurons derived from *Nurr1*-transfected ES cells expressed En-1, typically in the nucleus, and the expression was continued at later stages in postmitotic differentiating TH+ cells (Data not shown).

ii. Dopamine Transporter (DAT)

Dopamine Transporter (DAT) is another marker of substantia nigra dopaminergic neurons and known to be a regulator of dopamine neurotransmission. The differentiated neurons were examined for the presence of DAT using standard procedures for immunocytochemistry. The culture included about 20% DAT-immunoreactive neurons after long term maturation of *Nurr1*-transfected ES cells in serum-free N2 medium (Figure 10C).

iii. Dopamine Release

To further confirm the generation of dopaminergic neurons, the release of dopamine in *Nurr1* ES cells was measured using reverse phase HPLC as described by Studer et al., "Transplantation of expanded mesencephalic precursor leads to behavioral recovery in Hemiparkinsonian rats," *Nature Neurosci.* 1:290-295 (1998). Briefly, the differentiated cells were incubated in HBSS (56 mM KCl) and supernatants were stabilized with orthophosphoric acid (7.5%)/metabisulfate (0.22 mg/ml), and stored at -80°C until analysis.

In response to depolarization, neurons from *Nurr1*-transfected cells released 1000 fold more dopamine than wild-type ES cell derived neurons (Figure 10B). The wild type cells released only 0.07 ng/ml dopamine upon stimulation. In contrast, the *Nurr1*-transfected cells released 128 ng/ml.

J. Behavioral Studies

Rats were lesioned and grafted with differentiated wild-type and *Nurr1*-transfected cells as described by Studer et al., "Transplantation of expanded mesencephalic precursor leads to behavioral recovery in Hemiparkinsonian rats," *Nature Neurosci.* 1:290-295 (1998). As shown in Figure 11A, 2 of 5 animals showed rotational correction when grafted with differentiated wild-type cells. As shown in Figure 11B, 8 of 9 animals showed rotational correction when grafted with differentiated *Nurr1*-transfected cells. Zero (0) rotation is normal.

K. Electrophysiological Experiments

Following behavioral testing, electrophysiological experiments were performed on brain slices prepared from the striatum (including the graft site) of the grafted animals.

Patch clamp recordings revealed that the grafted cells formed synaptically functional TH+ neurons. Recording from a host striatal neuron while stimulating cells in the graft demonstrates that the grafted cells form synapses with the host neurons (Figure 11B).

All references cited herein are hereby incorporated by reference in their entirety.

**WHAT IS CLAIMED IS:**

1. A method of culturing cells, comprising:
  - a. expanding a culture of undifferentiated embryonic stem cells;
  - b. generating embryoid bodies;
  - c. culturing the embryoid bodies to select for central nervous system precursor cells;
  - d. expanding the central nervous system precursor cells by culturing the central nervous system precursor cells in an expansion medium that comprises at least one neurologic factor;
  - e. differentiating the expanded central nervous system precursor cells to form a culture of differentiated neuronal cells by culturing the expanded central nervous system precursors.
2. The method of claim 1, wherein the neurologic factor is selected from the group consisting of bFGF, SHH, FGF8, combinations thereof and functional fragments thereof.
3. The method of claim 1, wherein the step of differentiating the expanded central nervous system precursor cells to form differentiated neuronal cells comprises culturing the expanded nervous system precursors in a culture media that lacks bFGF.
4. The method of claim 1, wherein the culture of differentiated neuronal cells comprises at least about 30% dopaminergic neurons.
5. The method of claim 1, wherein the step of expanding a culture of embryonic stem cells comprises culturing embryonic stem cells for about 4 to about 7 days.
6. The method of claim 1, wherein the embryonic stem cells include human derived cells.
7. The method of claim 1, wherein the step of expanding a cell culture of embryonic stem cells comprises culturing embryonic stem cells on tissue culture plates.

8. The method of claim 1, wherein the step of expanding a cell culture of embryonic stem cells comprises culturing embryonic stem cells on gelatin coated tissue culture plates.
9. The method of claim 1, wherein the step of generating embryoid bodies comprises culturing expanded embryonic stem cells for about 4 to about 7 days.
10. The method of claim 1, wherein the step of generating embryoid bodies comprises culturing expanded undifferentiated embryonic stem cells in suspension.
11. The method of claim 1, wherein the step of culturing the embryoid bodies to select for central nervous system precursor cells comprises culturing the embryoid bodies in a serum-free medium.
12. The method of claim 1, wherein the step of culturing the embryoid bodies to select for central nervous system precursor cells comprises culturing the embryoid bodies on a fibronectin-coated surface.
13. The method of claim 1, wherein the step of culturing the embryoid bodies to select for central nervous system precursor cells comprises culturing the embryoid bodies for about 6 to about 8 days.
14. The method of claim 1, wherein the step of differentiating the expanded central nervous system precursor cells comprises culturing the expanded central nervous system precursors in a medium which includes ascorbic acid.
15. The method of claim 1, wherein the differentiated neuronal cells comprise dopaminergic neurons.
16. The method of claim 1, wherein the differentiated neuronal cells comprise at least about 30% dopaminergic neurons.
17. The method of claim 1, wherein the differentiated neuronal cells comprise at least about 10% serotonergic cells.

18. The method of claim 1, further comprising a step of transfecting the undifferentiated embryonic stem cells with a gene encoding *Nurr1* prior to the step of expanding the culture of undifferentiated embryonic stem cells.
19. A method of culturing dopaminergic neuronal cells, comprising:
  - a. expanding central nervous system precursor cells by culturing the central nervous system precursor cells in an expansion medium that comprises at least one neurologic agent; and
  - b. differentiating the expanded nervous system precursor cells to form a culture of differentiated neuronal cells that comprises at least about 30% dopaminergic neurons.
20. The method of claim 19, wherein the neurologic agent is selected from the group consisting of bFGF, SHH, FGF8, functional fragments and combinations thereof.
21. A method of treating a patient with neurological disorder, comprising the steps of:

administering a culture of differentiated neuronal cells to the patient wherein the culture of differentiated neuronal cells comprises at least about 30% dopaminergic neurons.
22. The method according to claim 21 wherein the differentiated neuronal cell culture is derived from embryonic stem cells.
23. The method according to claim 22 wherein the differentiated neuronal cell culture is derived from human embryonic stem cells.
24. The method according to claim 22 wherein the differentiated neuronal cell culture is derived from murine embryonic stem cells.
25. The method according to claim 21, wherein the culture of differentiated neuronal cells is prepared by a method comprising:
  - a. expanding a culture of undifferentiated embryonic stem cells;
  - b. generating embryoid bodies;
  - c. culturing the embryoid bodies to select for central nervous system precursor cells;

- d. expanding the central nervous system precursor cells by culturing the central nervous system precursor cells in an expansion medium that comprises at least one neurologic agent; and
  - e. differentiating the expanded central nervous system precursor cells to form differentiated neuronal cells.
26. The method of claim 25, wherein the method of preparing the culture of differentiated neuronal cells further comprises a step of transfecting the undifferentiated embryonic stem cells with a gene encoding *Nurr1* prior to the step of expanding the culture of undifferentiated embryonic stem cells.
27. The method of claim 21, wherein the neurological disorder is Parkinson's disease.
28. A method of introducing a gene product into a brain of a patient, comprising:
- a. transfecting embryonic stem cells;
  - b. culturing the transfected embryonic stem cells to provide a culture of differentiated neuronal cells comprising at least about 30% dopaminergic neurons; and
  - c. administering said differentiated transformed neuronal cells into a patient in need thereof.
29. The method of claim 28, wherein the culture of differentiated neuronal cells is generated by a method comprising:
- a. expanding a culture of undifferentiated embryonic stem cells;
  - b. generating embryoid bodies;
  - c. culturing the embryoid bodies to select for central nervous system precursor cells;
  - d. expanding the central nervous system precursor cells by culturing the central nervous system precursor cells in an expansion medium that comprises at least one neurologic factor;
  - e. differentiating the expanded central nervous system precursor cells to form a culture of differentiated neuronal cells by culturing the expanded central nervous system precursors.
30. The method of claim 29, wherein said transfected cell produces a gene product selected from the group consisting of tyrosine hydroxylase, nerve growth factor (NGF), brain derived neurotrophic factor (BDNF), basic



fibroblast growth factor (bFGF), glial derived growth factor (GDNF) NT-3, and NT-4/5.

31. An assay for a substance, comprising:
  - a. providing a culture of differentiated neuronal cells comprising at least 30% dopaminergic neurons;
  - b. exposing said differentiated neuronal cells to the substance; and
  - c. observing the effect of the substance on the differentiated neuronal cells.
32. The method of claim 31, wherein the culture of differentiated neuronal cells is generated by a method comprising:
  - a. expanding a culture of undifferentiated embryonic stem cells;
  - b. generating embryoid bodies;
  - c. culturing the embryoid bodies to select for central nervous system precursor cells;
  - d. expanding the central nervous system precursor cells by culturing the central nervous system precursor cells in an expansion medium that comprises at least one neurologic factor;
  - e. differentiating the expanded central nervous system precursor cells to form a culture of differentiated neuronal cells by culturing the expanded central nervous system precursors.
33. The method of claim 32, wherein the step of differentiating the expanded central nervous system precursor cells to form differentiated neuronal cells comprises culturing the expanded central nervous system precursors in a medium which includes ascorbic acid.
34. A cell culture comprising about 50% to about 85% neurons which comprise between about 20% and 40% dopaminergic neurons and between about 1% to about 3% astrocytes.
35. The cell culture of claim 34 wherein the differentiated neuronal cells comprise dopaminergic cells that are functional *in vivo*.
36. The cell culture of claim 34 wherein at least some of the differentiated neuronal cells are synaptically active.

37. The cell culture of claim 34 wherein the differentiated neuronal cells comprise an exogenous *Nurr1* gene.
38. A method of culturing neurons from embryonic stem cells, comprising:
- 5 a. expanding undifferentiated the embryonic stem cells on a surface that inhibits differentiation;
- b. disengaging the embryonic stem cells from the surface in clusters;
- c. dissociating the clusters of embryonic stem cells to obtain a population which includes a majority of individual cells;
- 10 d. generating embryoid bodies in suspension;
- e. culturing the embryoid bodies on a coated surface in serum free medium to select for Central Nervous System (CNS) precursor cells;
- f. expanding the CNS precursor cells by culturing the cells in an expansion medium that comprises at least one neurologic agent selected from SHH, FGF8, EFG and bFGF; and
- 15 g. differentiating the expanded CNS precursor cells to form neurons by withdrawing at least one neurologic agent from the culture.
39. The method according to claim 38, further comprising adding a differentiation enhancing agent to the culture of central nervous system precursor cells.
- 20 40. The method according to claim 39, wherein the differentiation enhancing agent comprises ascorbic acid.
- 25 41. The method according to claim 38, wherein the step of culturing the embryoid bodies to select for CNS precursor cells comprises culturing the embryoid bodies in the presence of one or more of selenium, insulin, transferring, and fibronectin.
- 30 42. The method of claim 38, further comprises a step of transfecting the undifferentiated embryonic stem cells with a gene encoding *Nurr1* prior to the step of expanding the culture of undifferentiated embryonic stem cells.
43. The method of claim 38, wherein the step of expanding the CNS precursor cells comprises culturing the CNS precursor cells in a HEPES free medium.

**Generation of DA neuronal populations  
from undifferentiated ES cells**

**Expand undifferentiated ES cells** population on gelatin-coated  
tissue culture surface in ES cell medium in the presence of LIF  
(Stage 1)



**Generate EBs** in suspension cultures for 4 days in ES cell medium  
(Stage 2)



**Select nestin-positive cells** for 8 days in ITSFn medium from EBs  
plated on tissue culture surface (Stage 3)



**Expand nestin-positive cells** for 7 days in N2 medium containing  
bFGF/laminin (Stage 4)



**Induce differentiation** of the expanded neuronal precursor cells  
by withdrawing bFGF from N2 medium containing laminin (Stage 5)

Fig. 1

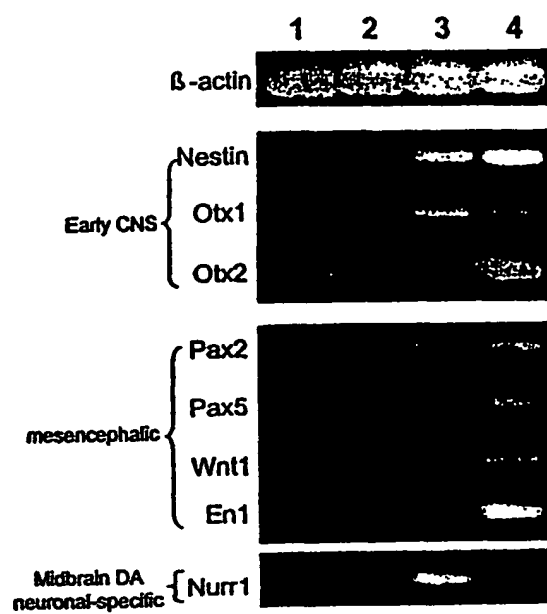


Fig 2

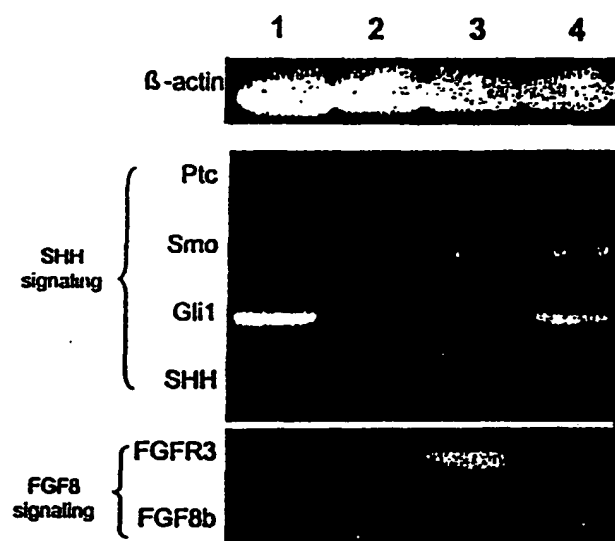
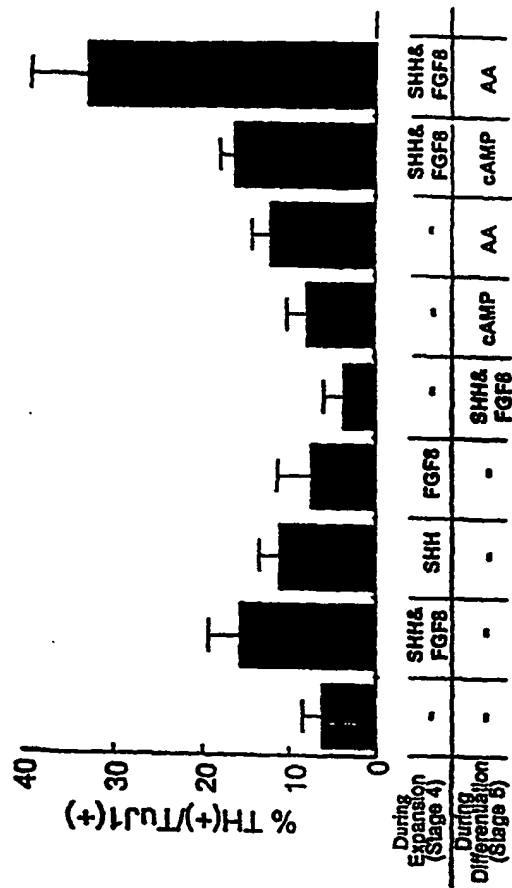


Fig 3



J  
50  
17

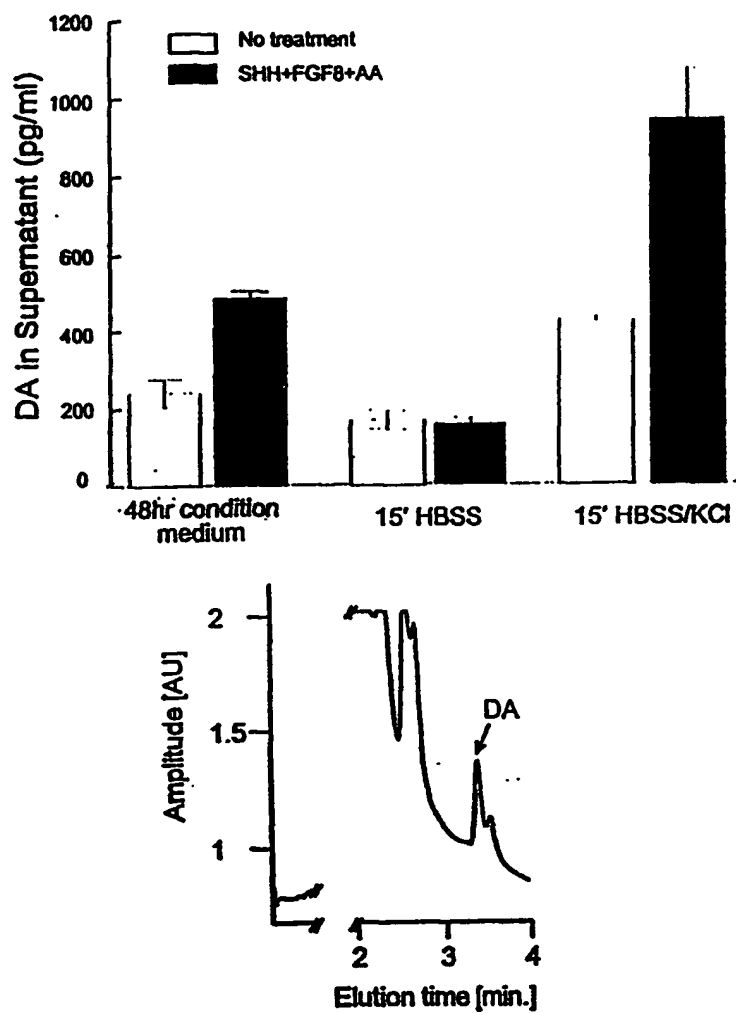


Fig 5

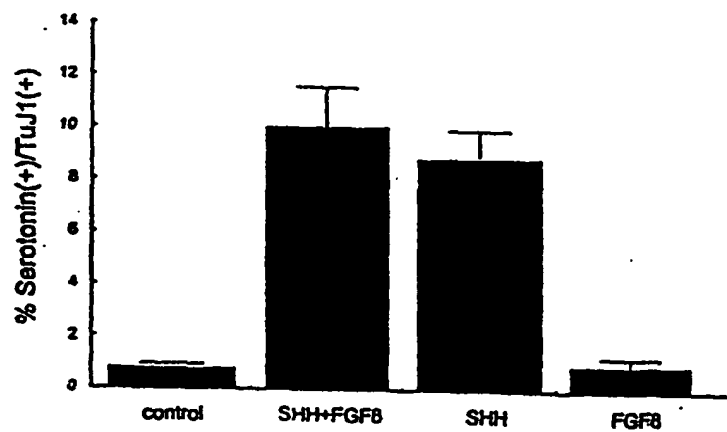


Fig 6



# Effect of EB formation methods

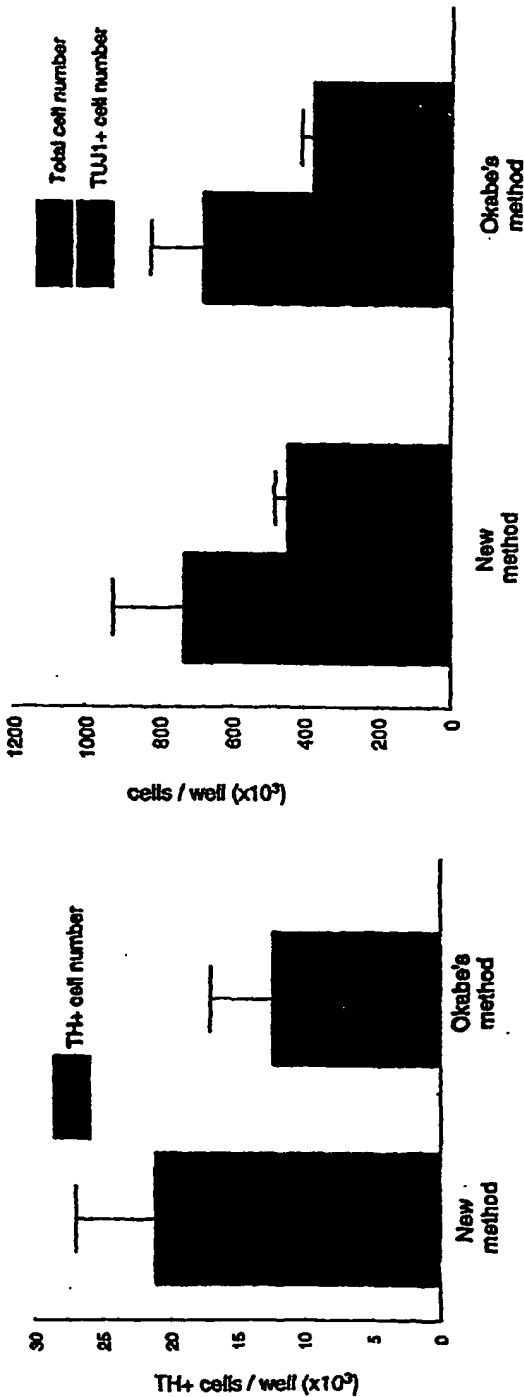


Fig. 7

Effect of Culture Media

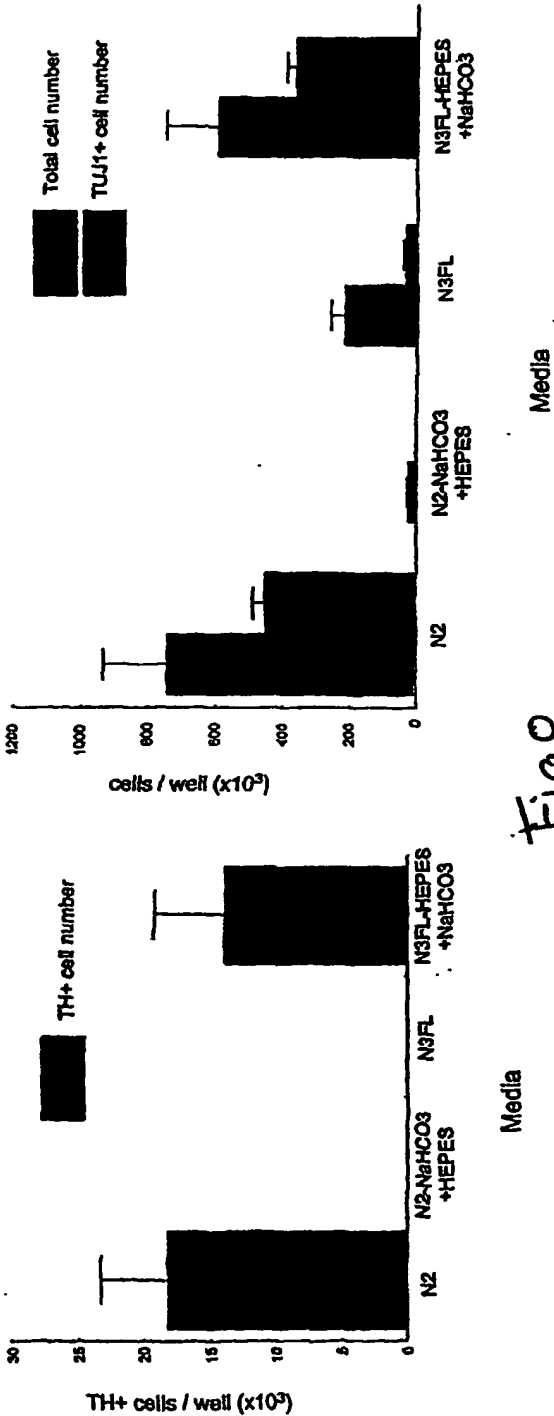


Fig8

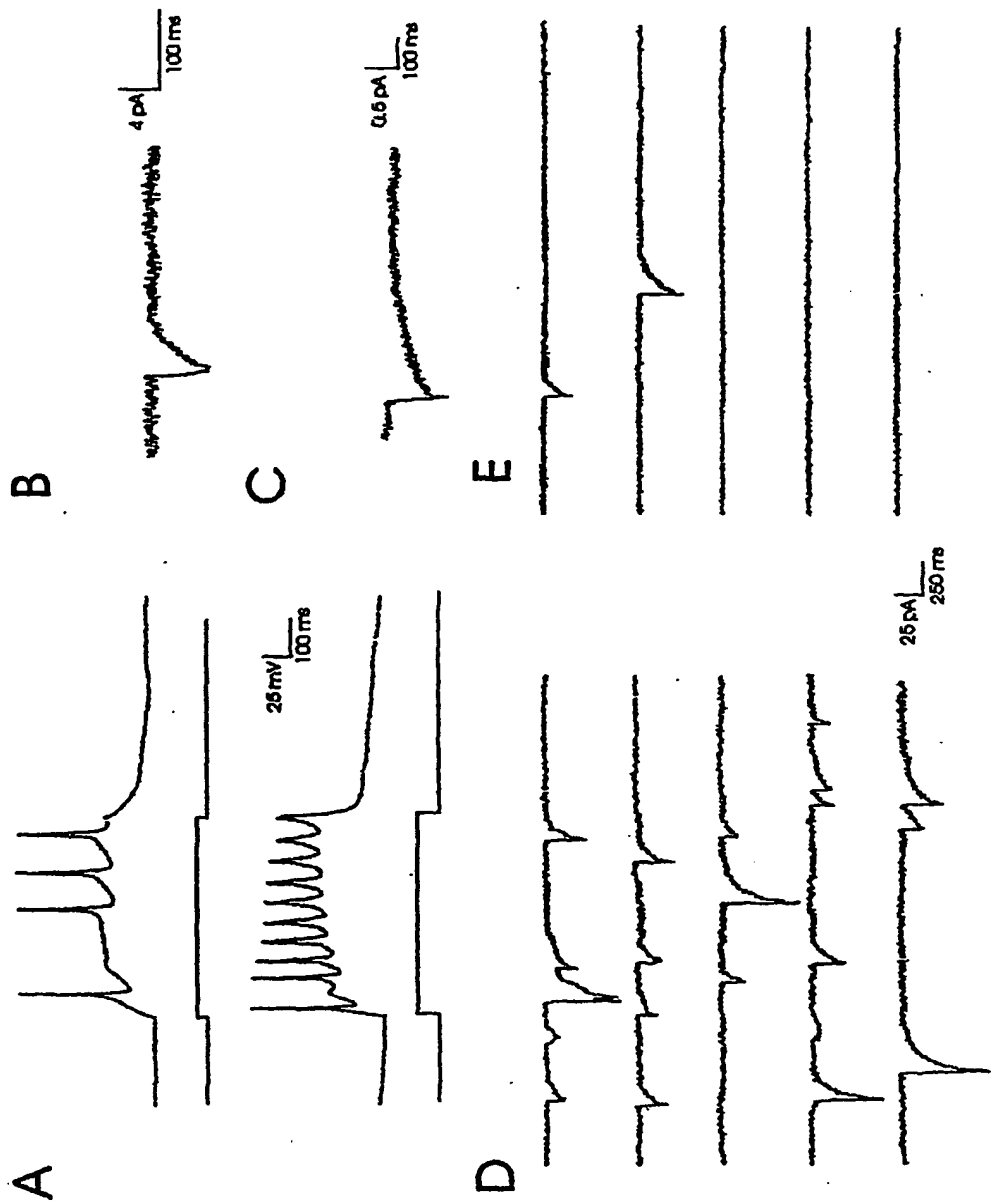


FIG. 9

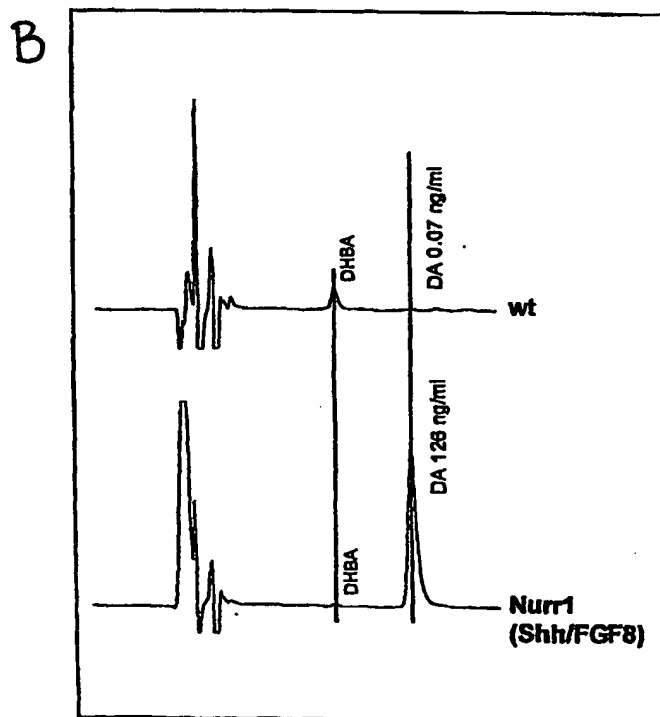
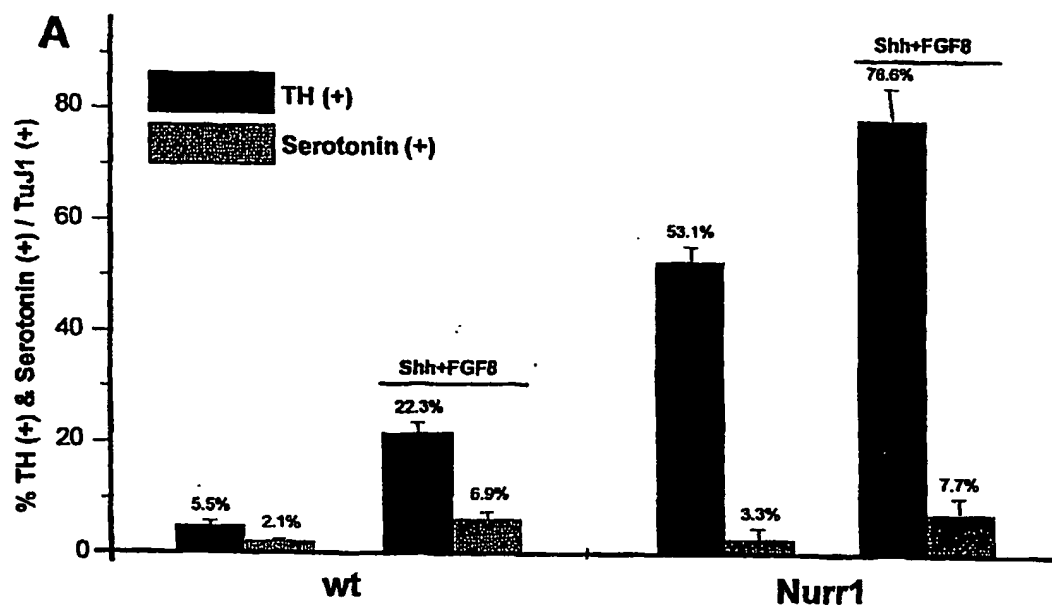
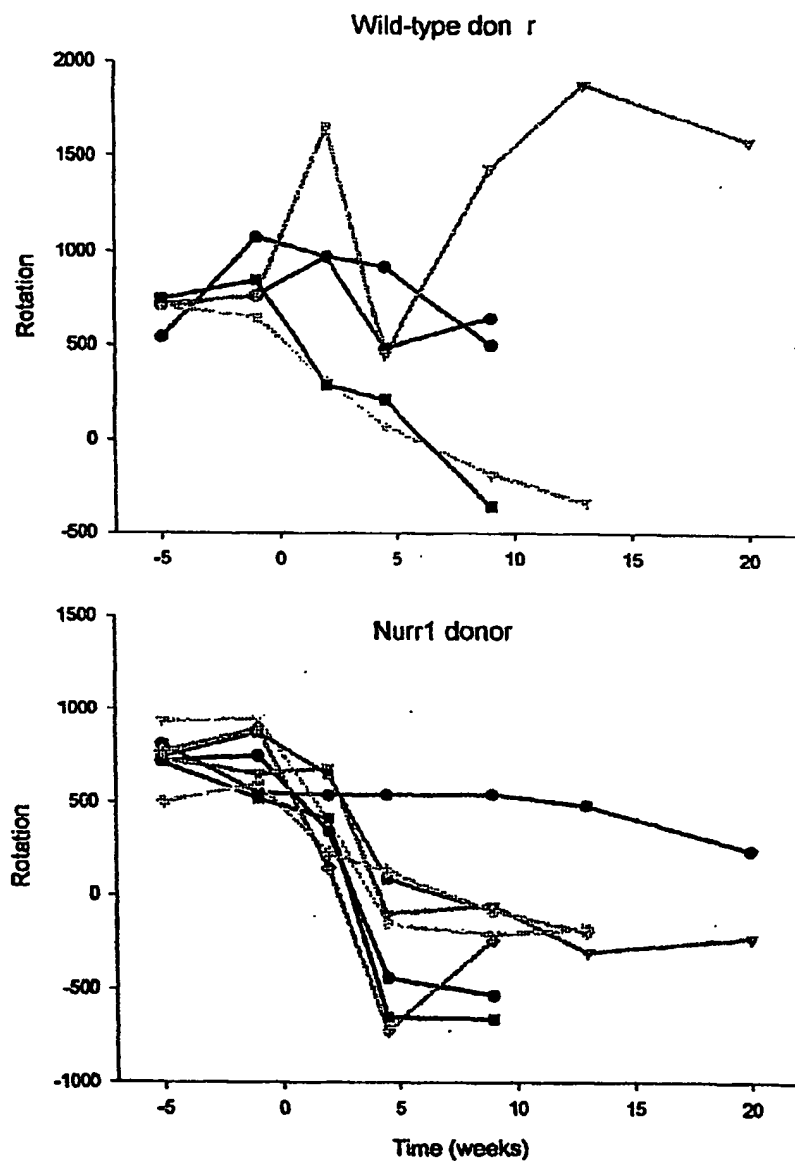


Fig 10

11/11

A



note: positive rotations are ipsilateral to 6-OHDA lesion  
negative rotations are contralateral to lesion

B

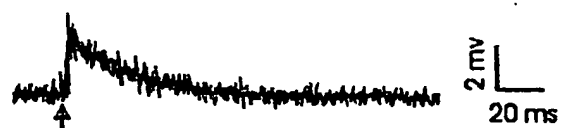


Fig 4